
NEW YORK STATE
REGISTER

INSIDE THIS ISSUE:

- Restricted License for Clinical Laboratory Technologist
- Continuing Education in the Profession of Public Accountancy
- Duties and Responsibilities of the Counsel of the State Education Department

Notice of Availability of State and Federal Funds

Executive Orders

Court Notices

Financial Reports

State agencies must specify in each notice which proposes a rule the last date on which they will accept public comment. Agencies must always accept public comment: for a minimum of 60 days following publication in the *Register* of a Notice of Proposed Rule Making, or a Notice of Emergency Adoption and Proposed Rule Making; and for 45 days after publication of a Notice of Revised Rule Making, or a Notice of Emergency Adoption and Revised Rule Making in the *Register*. When a public hearing is required by statute, the hearing cannot be held until 60 days after publication of the notice, and comments must be accepted for at least 5 days after the last required hearing. When the public comment period ends on a Saturday, Sunday or legal holiday, agencies must accept comment through the close of business on the next succeeding workday.

For notices published in this issue:

- the 60-day period expires on May 24, 2020
- the 45-day period expires on May 9, 2020
- the 30-day period expires on April 24, 2020

**ANDREW M. CUOMO
GOVERNOR**

**ROSSANA ROSADO
SECRETARY OF STATE**

NEW YORK STATE DEPARTMENT OF STATE

For press and media inquiries call:
(518) 474-0050

For *State Register* production, scheduling and subscription information
call: (518) 474-6957
E-mail: adminrules@dos.ny.gov

For legal assistance with *State Register* filing requirements
call: (518) 474-6740
E-mail: dos.dl.inetcounsel@dos.ny.gov

The *New York State Register* is now available on-line at:
www.dos.ny.gov/info/register.htm



The *New York State Register* (ISSN 0197 2472) is published weekly. Subscriptions are \$80 per year for first class mailing and \$40 per year for periodical mailing. The *New York State Register* is published by the New York State Department of State, One Commerce Plaza, 99 Washington Avenue, Albany, NY 12231-0001. Periodical postage is paid at Albany, New York and at additional mailing offices.

POSTMASTER: Send address changes to NY STATE REGISTER, the Department of State, Division of Administrative Rules, One Commerce Plaza, 99 Washington Avenue, Albany, NY 12231-0001

♻️ printed on recycled paper

NEW YORK STATE REGISTER

Be a part of the rule making process!

The public is encouraged to comment on any of the proposed rules appearing in this issue. Comments must be made in writing and must be submitted to the agency that is proposing the rule. Address your comments to the agency representative whose name and address are printed in the notice of rule making. No special form is required; a handwritten letter will do. Individuals who access the online *Register* (www.dos.ny.gov) may send public comment via electronic mail to those recipients who provide an e-mail address in Notices of Proposed Rule Making. This includes Proposed, Emergency Proposed, Revised Proposed and Emergency Revised Proposed rule makings.

To be considered, comments should reach the agency before expiration of the public comment period. The law provides for a minimum 60-day public comment period after publication in the *Register* of every Notice of Proposed Rule Making, and a 45-day public comment period for every Notice of Revised Rule Making. If a public hearing is required by statute, public comments are accepted for at least five days after the last such hearing. Agencies are also required to specify in each notice the last date on which they will accept public comment.

When a time frame calculation ends on a Saturday or Sunday, the agency accepts public comment through the following Monday; when calculation ends on a holiday, public comment will be accepted through the following workday. Agencies cannot take action to adopt until the day after expiration of the public comment period.

The Administrative Regulations Review Commission (ARRC) reviews newly proposed regulations to examine issues of compliance with legislative intent, impact on the economy, and impact on affected parties. In addition to sending comments or recommendations to the agency, please do not hesitate to transmit your views to ARRC:

Administrative Regulations Review Commission
State Capitol
Albany, NY 12247
Telephone: (518) 455-5091 or 455-2731

Each paid subscription to the *New York State Register* includes one weekly issue for a full year and four "Quarterly Index" issues. The Quarterly is a cumulative list of actions that shows the status of every rule making action in progress or initiated within a calendar year.

The *Register* costs \$80 a year for a subscription mailed first class and \$40 for periodical (second) class. Prepayment is required. To order, send a check or money order payable to the NYS Department of State to the following address:

NYS Department of State
One Commerce Plaza
99 Washington Avenue
Suite 650
Albany, NY 12231-0001
Telephone: (518) 474-6957

KEY: (P) Proposal; (RP) Revised Proposal; (E) Emergency; (EP) Emergency and Proposal; (A) Adoption; (AA) Amended Adoption; (W) Withdrawal

Individuals may send public comment via electronic mail to those recipients who provided an e-mail address in Notices of Proposed Rule Making. This includes Proposed, Emergency Proposed, Revised Proposed and Emergency Revised Proposed rule makings. Choose pertinent issue of the *Register* and follow the procedures on the website (www.dos.ny.gov)

Rule Making Activities**Agriculture and Markets, Department of**

1 / Calibrating and Testing of Certain Weights and Measures Standards and Devices (P)

Criminal Justice Services, Division of

3 / Certified Instructors and Course Directors (A)

Education Department

4 / Restricted License for Clinical Laboratory Technologist (E)

7 / Continuing Education in the Profession of Public Accountancy (E)

9 / Duties and Responsibilities of the Counsel of the State Education Department (E)

Environmental Conservation, Department of

10 / Regulations Governing Commercial Fishing of Tautog (blackfish) (EP)

Financial Services, Department of

12 / Reverse Mortgage Loans (EP)

14 / Rules Governing the Procedures for Adjudicatory Proceedings Before the Department of Financial Services (A)

14 / Supplementary Uninsured/Underinsured Motorist Coverage (A)

Health, Department of

15 / Investigation of Communicable Disease; Isolation and Quarantine (E)

17 / Transitional Adult Home Admission Standards for Individuals with Serious Mental Illness (A)

Mental Health, Office of

19 / Uncompensated Care Funds Issued Pursuant to the Indigent Care Program (P)

Motor Vehicles, Department of

20 / Establishes an Internet Prelicensing Course (P)

Public Service Commission

22 / Request for Waiver of Tariff Provision (P)

22 / Delivery Rates of Corning Natural Gas Corporation (P)

23 / Clarify Language Regarding Treatment of Multi-Unit Buildings in CDG Projects (P)

23 / Direct Energy, LLC's Green Gas Products (P)

24 / Sale of Facilities (P)

24 / Transfer of Street Lighting Facilities (P)

24 / Changes to Public Service Law Section 66-p Relating to Billing Information for Residential Rental Premises (P)

Hearings Scheduled for Proposed Rule Makings / 29**Action Pending Index / 31****Securities Offerings**

77 / State Notices

Advertisements for Bidders/Contractors

79 / Sealed Bids

Notice of Availability of State and Federal Funds

Miscellaneous Notices/Hearings

93 / Notice of Abandoned Property Received by the State Comptroller

93 / Public Notice

Executive Orders

107 / Executive Order No. 147.33: A Special Prosecutor to Investigate and Prosecute Matters Relating to the Deaths of Civilians Caused by Law Enforcement Officers.

107 / Executive Order No. 168.32: Continuing the Declaration of a Disaster Emergency in the Five Boroughs of New York City and the Counties of Dutchess, Nassau, Orange, Putnam, Rockland, Suffolk and Westchester that Incorporate the MTA Region in the State of New York.

Court Notices

109 / Uniform Rules for Courts Exercising Criminal Jurisdiction

Financial Reports / 111

RULE MAKING ACTIVITIES

Each rule making is identified by an I.D. No., which consists of 13 characters. For example, the I.D. No. AAM-01-96-00001-E indicates the following:

AAM -the abbreviation to identify the adopting agency
01 -the *State Register* issue number
96 -the year
00001 -the Department of State number, assigned upon receipt of notice.
E -Emergency Rule Making—permanent action not intended (This character could also be: A for Adoption; P for Proposed Rule Making; RP for Revised Rule Making; EP for a combined Emergency and Proposed Rule Making; EA for an Emergency Rule Making that is permanent and does not expire 90 days after filing.)

Italics contained in text denote new material. Brackets indicate material to be deleted.

Department of Agriculture and Markets

PROPOSED RULE MAKING NO HEARING(S) SCHEDULED

Calibrating and Testing of Certain Weights and Measures Standards and Devices

I.D. No. AAM-12-20-00006-P

PURSUANT TO THE PROVISIONS OF THE State Administrative Procedure Act, NOTICE is hereby given of the following proposed rule:

Proposed Action: Amendment of sections 220.3(c), 220.4 and 220.12 of Title 1 NYCRR.

Statutory authority: Agriculture and Markets Law, sections 16, 18 and 179

Subject: Calibrating and testing of certain weights and measures standards and devices.

Purpose: To allow the Department to increase the fees it charges in calibrating and testing certain weights and measures standards and devices.

Text of proposed rule: Subdivision (c) of section 220.3 of 1 NYCRR is amended to read as follows:

(c) The following fee schedule sets forth the amounts that may be charged by the State director for each inspection and test of weighing and measuring devices not otherwise conducted by a municipality:

- (1) Scales
 - (i) From 4,500 kg (9,920 lb) and including 6,500 kg (14,330 lb) .
[150] \$250
 - (ii) Over 6,500 kg and including 22,500 kg (49,604 lb) ... [175]
\$300
 - (iii) Over 22,500 kg ...[200] \$350

- (2) Liquified petroleum gas meters
 - (i) Up to and including 75 liters/min (20 gal/min) flow rate ...[50]
\$100

(ii) Over 75 liters/min flow rate ...[100] \$150, provided, however, that on and after January 1, 2023, the fee shall be \$200

- (3) Petroleum [terminal] meters [with flow rates in excess of 375 liters/min (99 gal/min) ...\$200]

(i) up to and including 375 liters/min (99 gal/min) ...\$225

(ii) over 375 liters/min (99 gal/min) ...\$300

Section 220.4 of 1 NYCRR is amended to read as follows:

220.4 Schedule of fees for State weights and measures calibration. The following schedule of fees may be the amounts that shall be charged for any calibration performed by State weights and measures personnel, upon the standards of weights and measures of any person, firm or corporation requesting calibration services:

- (a) Mass standards.

- (1) Calibration of field standards:

(i) Test kits 1 18 weights, largest weight not exceeding 5 kg (11 lb) ... [45] \$120, except for calibration for municipal weights and measures...\$45

(ii) Test kits over 18 weights, largest weight not exceeding 5 kg (11 lb) ... [85] \$200, except for calibration for municipal weights and measures...\$85

(iii) Up to and including 3 kg (7 lb) ... [10] \$15, except for calibration for municipal weights and measures...\$10

(iv) Over 3 kg and including 30 kg (66 lb) ...[15] \$30, except for calibration for municipal weights and measures...\$15

(v) Over 30 kg and including 1,200 kg (2,646 lb) ...[35] \$65, except for calibration for municipal weights and measures...\$35

- (2) Calibration of laboratory standards:

(i) Up to and including 3 kg (7 lb) ...[20] \$30

(ii) Over 3 kg and including 30 kg (66 lb) ...[60] \$75

(iii) Over 30 kg and including 1,200 kg (2,646 lb) ...[45] \$100

- (b) Volumetric standards.

- (1) Calibration of field standards:

(i) Up to and including 20 L (5 gal) ... [15] \$60, except for calibration for municipal weights and measures...\$15

(ii) Over 20 L and including 100 L (26 gal) ... [40] \$160, except for calibration for municipal weights and measures...\$40

(iii) Over 100 L and including 1,000 L (264 gal) ... [90] \$320, except for calibration for municipal weights and measures...\$90

(iv) Over 1,000 L and including 5,000 L (1,321 gal) ... [235] \$800, except for calibration for municipal weights and measures...\$235

(v) Over 5,000 L ... [285] \$1,000, except for calibration for municipal weights and measures...\$285

- (2) Calibration of slicker plate and laboratory standards:

(i) Up to and including 4 L (1 gal) ... [25] \$75, except for calibration for municipal weights and measures...\$25

(ii) Over 4 L and including 40 L (11 gal) ... [55] \$200, except for calibration for municipal weights and measures...\$55

(iii) Over 40 L and including 775 L (205 gal) ... [125] \$600, except for calibration for municipal weights and measures...\$125

- (3) Calibration of LPG standards:

(i) Up to and including 100 L (26 gal) ... [275] \$350, except for calibration for municipal weights and measures...\$275

(ii) Over 100 L and including 400 L (106 gal) ... [325] \$600, except for calibration for municipal weights and measures...\$325

(iii) Over 400 L ... [400] \$800, except for calibration for municipal weights and measures...\$400

- (c) Linear standards.

- (1) Calibration

(i) Up to and including 2 m (7 ft) ... [15] \$30, except for calibration for municipal weights and measures...\$15

(ii) Over 2 m and including 16 m (52 ft) ... [30] \$75, except for calibration for municipal weights and measures...\$30

(iii) Over 16 m and including 31 m (102 ft) ... [50] \$125, *except for calibration for municipal weights and measures...*\$50

(iv) Over 31 m and including 61 m (200 ft) ... [70] \$200, *except for calibration for municipal weights and measures...*\$70

(2) Calibration:

For each reported interval requested, add to above fee ... \$5

(d) For any special test requested, an hourly rate of [\$75] \$125 may be charged. Estimates shall be given upon request.

(e) This fee schedule shall also apply to any local jurisdiction whose laboratory has been certified by the State Bureau of Weights and Measures and shall be the maximum permitted fees that may be charged by the local jurisdiction.

Section 220.12 of 1 NYCRR is amended to read as follows:

220.12 Schedule of fees for type approval examination. The following schedule shall be the amounts that may be charged for type approval examination undertaken upon the request of any person, firm, or corporation:

(a) Laboratory evaluation.

(1) A fee of [\$75] \$140 per hour for examination of any device in the State laboratory.

(2) A fee of \$100 for processing an application for approval when the examination has been conducted at another national type evaluation program laboratory.

(b) Field evaluation. The following fee schedule shall apply to any type approval examination conducted away from the State laboratory:

(1) Technician time, [\$50/hr.] \$90/hr

(2) Per-diem. As computed by method I or method II prescribed by State Comptroller's office.

(3) Transportation. The manufacturer is responsible for the roundtrip costs of transportation for the technicians from their assigned work station to the test site. Transportation costs include airline tickets, car rental, parking, tolls, and similar costs as appropriate.

(4) Equipment charges.

	Per day	Per mile
(i) Weight truck	\$400.00	[\$2.50] \$5.00
(ii) Prover truck	\$400.00	[1.50] \$3.00
(iii) LPG unit	\$200.00	[.50] \$1.00
(iv) Pickup trucks	\$30.00	[.26] \$0.55

Text of proposed rule and any required statements and analyses may be obtained from: Mr. Mike Sikula, Director, Bureau of Weights and Measures, NYS Dept. of Agriculture and Markets, 10B Airline Drive, Albany, New York 12235, (518) 457-3146, email: mike.sikula@agriculture.ny.gov

Data, views or arguments may be submitted to: Same as above.

Public comment will be received until: 60 days after publication of this notice.

Regulatory Impact Statement

1. Statutory authority:

Agriculture and Markets Law ("A&ML") section 16(1) authorizes the Commissioner of Agriculture and Markets ("Commissioner") to execute and carry into effect the laws of the state relative to weights and measures. A&ML section 18 permits the Commissioner to enact rules that provide for the exercise of the powers of the Department of Agriculture and Markets ("Department") as prescribed in the A&ML Subdivision (2) of A&ML section 179 authorizes the &MCommissioner to promulgate rules and regulations to supplement and to give full effect to A&ML Article 16, entitled "Weights and Measures". Subdivision (11) of A&ML section 179 permits the Commissioner to test, calibrate, and certify, upon request, standards of weights and measures, weighing and measuring devices and systems, and accessories related thereto, and to charge such fees as deemed appropriate.

2. Legislative objectives:

The legislature, in enacting Article 16 of the A&ML, sought to promote the public interest in ensuring that commodities, offered for sale to the public, are accurately weighed and measured. In this connection, the legislature has authorized the State director of weights and measures ("State director") to calibrate weights and measures standards and devices, used by non-public entities, to ensure their accuracy. Such calibration services may be done in the offices of the State director or in the field but in either circumstance, the provision of such services is costly – the legislature has recognized this by allowing the State director to charge a fee for all such services, thereby allowing him to have the wherewithal to continue to provide them.

3. Needs and benefits:

The proposed rule will amend 1 NYCRR section 220.3(c) to increase certain fees charged by the State director for testing large capacity scales,

terminal rack meters, and propane meters that municipal weights and measures agencies cannot test due to not having the necessary equipment and/or trained personnel.

The increased fees are needed to allow the State director to cover the cost of performing such tests. In order to perform such tests, the State director uses, inter alia, a large capacity vehicle scale test unit, a terminal rack meter prover, and propane meter tests provers; each of these machines are expensive to maintain, store, and transport, and each requires trained and experienced personnel to operate – presently, the fees that the State director is allowed to charge does not cover such costs. The proposed rule, by allowing the State director to charge fees that do indeed cover the costs of performing such tests, will benefit private businesses that have their weighing and measuring standards and devices tested – their customers will, most likely, be more confident knowing that the commodities that they have purchased are accurately labeled as to weight or measure. Furthermore, consumers will, as well, benefit in that they will obtain the full weight or measure of the commodities that they have purchased from such businesses.

In addition, the proposed rule will also amend 1 NYCRR section 220.4 to allow the State director to charge increased fees for calibrating mass standards, volumetric standards, and linear standards ("such standards"). The increased fees are needed to allow the State director to cover the cost of performing such tests and the proposed rule, by allowing the State director to charge such fees, will benefit private business and those customers for the same reasons that they will benefit if the amendment to 1 NYCRR section 220.3(c) is adopted.

Finally, the proposed rule will amend 1 NYCRR section 220.12 to allow the State director to evaluate certain new weighing and measuring devices and standards, and to charge a fee therefor commensurate with his cost in providing such services. The State director operates one of only four laboratories in the country that is capable of performing evaluations of "new" weighing and measuring devices and standards, used to determine the weight or measure of commodities for commercial sale. Commercial weighing and measuring devices that have been successfully evaluated are often referred to as "legal for trade". It is expensive, however, to operate such a laboratory, both to purchase and properly maintain the equipment necessary to perform such evaluations and to employ and continue to provide training to employees who operate such equipment. The proposed rule is needed to generate sufficient funds to allow the State director to continue to offer this service, and private businesses and consumers will benefit for the same reasons that they will if the other amendments to 1 NYCRR Part 220, referred to above, are adopted.

4. Costs:

a. Costs to regulated parties for the implementation of and compliance with the rule.

The proposed rule will amend 1 NYCRR section 220.3 to allow the State director to charge increased fees for testing large capacity scales; it is estimated that there are approximately 150 businesses located in the State that will require such service to be done and that each will incur an average of approximately \$300 a year in increased costs if the proposed rule were adopted.

The proposed rule will also amend 1 NYCRR section 220.3 to allow the State director to charge increased fees for testing petroleum meters; it is estimated that there are approximately 25 businesses, including airports, that will require such service and that each will incur an average increased cost of approximately \$500 - \$2,200 a year.

The proposed rule will, furthermore, amend 1 NYCRR section 220.3 to allow the State director to charge increased fees for testing propane meters; there are approximately 250 businesses that will, after the effective date of the proposed rule and prior to January 1, 2023, incur an average increased cost of approximately \$300 a year and, on and after January 1, 2023, incur an average, additional increased cost of approximately \$300 a year.

The proposed rule will, also, amend 1 NYCRR section 220.4 to allow the State director to charge increased fees for calibrating mass standards, volumetric standards, and linear standards. It is estimated that each business that chooses to have its equipment so calibrated will incur an average increased cost of approximately \$50 - \$200 a year for each piece of equipment submitted, depending upon how many times a year re-calibration is sought.

Finally, the proposed rule will amend 1 NYCRR section 220.12 to allow the State director to evaluate new weights and measures standards and devices and to charge fees commensurate with his cost of providing such service; the owner of each such standard or device submitted for calibration will incur the charge set forth in the proposed rule.

b. Costs to the agency, the State, and local governments for the implementation and continuation of the rule.

The proposed rule will impose no increased costs upon the State, the Department of Agriculture and Markets, or upon local governments.

5. Local government mandates:

This amendment does not impose any new programs, services, duties or responsibilities on local government.

6. Paperwork:

The rule is not expected to impose any paperwork or reporting requirements on regulated entities.

7. Duplication:

This rule does not duplicate, overlap, or conflict with any other legal requirements of the state or federal government.

8. Alternatives:

The Department considered not raising the fees to be charged for testing large capacity scales, terminal rack meters, and propane meters; for calibrating mass standards, volumetric standards, and linear standards; and for calibrating new weights and measures standards and devices. The Department decided, however, that maintaining the present fee structure would preclude it from providing such services and, therefore, a relatively modest increase in such fees was necessary.

9. Federal standards:

There are no minimum standards of the Federal government for this or a similar subject area.

10. Compliance schedule:

The proposed rule will become effective upon publication of the Notice of Adoption in the New York State Register.

Regulatory Flexibility Analysis

1. Effect of rule:

The proposed rule will amend 1 NYCRR section 220.3 to allow the State director of the Department of Agriculture and Markets' Bureau of Weights and Measures ("State director") to charge higher fees for testing large capacity scales, used primarily by scrap metal facilities, feed/fertilizer plants, and asphalt plants; terminal rack meters, used by wholesale petroleum distributors; and propane meters, used by propane distributors. Of all the businesses that use such scales and meters, approximately 275 are "small businesses" as defined in State Administrative Procedure Act section 102(8), and may be affected by the proposed rule.

The proposed rule will also amend 1 NYCRR section 220.4 to allow the State director to charge higher fees for calibrating mass standards, volumetric standards, and linear standards. Of all the businesses that use such standards, approximately 30 are "small businesses" as defined in State Administrative Procedure Act section 102(8), and may be affected by the proposed rule.

Finally, the proposed rule will amend 1 NYCRR section 220.12 to allow the State director to charge increased fees for evaluating "new" weights and measures standards and devices; it is anticipated that the businesses that will avail themselves of such service are manufacturers of scales, indicators, point-of-sale systems, taxi meters, etc.; few if any of these businesses are "small businesses".

2. Compliance requirements:

The rule simply increases fees to regulated entities. No other reporting, recordkeeping, or compliance requirements are imposed by the regulation.

3. Professional services:

This proposal is not expected to require any additional use of professional services.

4. Compliance costs:

The proposed rule will amend 1 NYCRR section 220.3 to increase the costs that small businesses will be required to pay to have large capacity scales, terminal rack meters, and propane meters tested that are required to be periodically tested. The proposed rule will also amend 1 NYCRR sections 220.4 and 220.12 to allow the State director to charge increased fees for calibrating and/or evaluating certain weighting or measuring standards and devices that are not required to be periodically calibrated. The proposed rule, by amending such sections to allow for increased fees to be charged, will merely allow the State director to defray his costs in providing such testing, evaluation and calibration services.

5. Economic and technological feasibility:

The proposed rule will require small businesses that are required to or choose to submit weighing and measuring standards and devices to the State director for testing or calibration to pay a marginally-higher fee than is presently required; as such, compliance with the requirement that such fees must be paid for such services should be economically and technologically feasible.

6. Minimizing adverse impact:

The Department of Agriculture and Markets ("Department") originally considered proposing fee increases higher than those current proposed for certain tests and calibrations. This was designed to account for anticipated increases in the cost of hiring and paying employees qualified to perform necessary calibration and testing services and of acquiring and maintaining the equipment and machinery used in the performance of such services. In an effort to make such services as accessible and financially-affordable as possible, however, the Department has proposed lesser increases and for propane meters has included a gradual increase over four years. The fees, as proposed, presently cover the costs of providing such services although they may not cover such costs in the future; in the event that they do not, the Department anticipates that it will, then, propose additional amendments to 1 NYCRR sections 220.3, 220.4 and 220.12.

7. Small business and local government participation:

In December, 2016, Department staff contacted large capacity scale customers and an association of propane dealers. Based upon comments received, the Department has amended the initial draft of the proposed rule to increase certain fees less than originally suggested.

Rural Area Flexibility Analysis

The proposed rule will allow the State Director of the Department of Agriculture and Markets' Bureau of Weights and Measures to charge higher fees to calibrate and test weights and measures standards and devices, submitted to him for calibrating and testing, by private businesses, in order to "cover" his costs in providing such services.

The proposed rule imposes no reporting, recordkeeping or other compliance requirements on public or private entities in rural areas that have not submitted weights and measures standards and devices to the State Director for calibration and testing; as such, the proposed rule will not have an adverse impact upon public or private entities in rural areas.

Job Impact Statement

The proposed rule will allow the State Director of the Department of Agriculture and Markets' Bureau of Weights and Measures to charge higher fees to calibrate and test weights and measures standards and devices, submitted to him for calibrating and testing, by private businesses.

The proposed rule will allow the State Director to recover his costs in providing the services referred to above, thereby allowing him to continue to provide such services. Private businesses that avail themselves of such services will benefit in that they will be better able to offer for sale products that are of the weight and measure represented. The proposed rule may, therefore, have a positive impact upon jobs and employment opportunities in that such private businesses may experience an increase in demand for their products, thereby necessitating their hiring of additional employees.

Division of Criminal Justice Services

NOTICE OF ADOPTION**Certified Instructors and Course Directors**

I.D. No. CJS-20-19-00003-A

Filing No. 203

Filing Date: 2020-03-10

Effective Date: 2020-03-25

PURSUANT TO THE PROVISIONS OF THE State Administrative Procedure Act, NOTICE is hereby given of the following action:

Action taken: Amendment of Parts 6018-6026; addition of section 6023.3-a to Title 9 NYCRR.

Statutory authority: Executive Law, sections 837(13), 840(1), (3) and 841(1)

Subject: Certified Instructors and Course Directors.

Purpose: Establish/maintain effective procedures governing certified instructors and course directors who deliver MPTC-approved courses.

Text or summary was published in the May 15, 2019 issue of the Register, I.D. No. CJS-20-19-00003-P.

Final rule as compared with last published rule: No changes.

Text of rule and any required statements and analyses may be obtained from: Natasha Harvin-Locklear, Esq., Division of Criminal Justice Services, 80 S. Swan St., Albany, NY 12210, (518) 457-8413, email: dcjslegalrulemaking@dcjs.ny.gov

Initial Review of Rule

As a rule that requires a RFA, RAFA or JIS, this rule will be initially reviewed in the calendar year 2023, which is no later than the 3rd year after the year in which this rule is being adopted.

Assessment of Public Comment

The agency received no public comment.

Education Department

EMERGENCY RULE MAKING

Restricted License for Clinical Laboratory Technologist

I.D. No. EDU-52-19-00008-E

Filing No. 195

Filing Date: 2020-03-09

Effective Date: 2020-03-09

PURSUANT TO THE PROVISIONS OF THE State Administrative Procedure Act, NOTICE is hereby given of the following action:

Action taken: Amendment of section 79-13.5 of Title 8 NYCRR.

Statutory authority: Education Law, sections 207, 6504, 6506, 6507, 8610; L. 2019, ch. 227

Finding of necessity for emergency rule: Preservation of public health and general welfare.

Specific reasons underlying the finding of necessity: The proposed amendment to section 79-13.5 of the Regulations of the Commissioner of Education is necessary to implement Chapter 227 (Chapter 227) of the Laws of 2019, which amended the Education Law, effective December 28, 2019, which establishes a new restricted license for clinical laboratory technologists in toxicology and allows individuals employed by a New York State Department of Health certified laboratory who meet the requirements for a restricted license to receive a certification allowing them to perform toxicology laboratory services.

The proposed amendment to section 79-13.5 of the Regulations of the Commissioner of Education implements Chapter 227 by adding toxicology to the category of restricted licenses for clinical laboratory technologists, establishing education requirements that must be provided by the Clinical Director to those applicants for a restricted license in toxicology and establishing a pathway to licensure for individuals who are employed by a New York State Department of Health authorized toxicology laboratory, operating under the direction of a clinical laboratory director to receive a certification allowing them to perform toxicology laboratory services.

The proposed amendment was presented to the Professional Practice Committee for recommendation and to the Full Board for adoption as an emergency action at the December 2019 meeting of the Board of Regents, effective December 28, 2019. Since the Board of Regents meets at fixed intervals, the earliest the proposed rule can be presented for permanent adoption, after expiration of the required 60-day comment period provided for in the State Administrative Procedure Act (SAPA) sections 201(1) and (5), would be the April 6-7, 2020 Regents meeting. Furthermore, pursuant to SAPA 203(1), the earliest effective date of the proposed rule, if adopted at the April meeting would be April 22, 2020, the date the Notice of Adoption would be published in the State Register. However, the December emergency rule will expire on March 8, 2020. If the rule were to lapse, it would impede the ability of the Department to issue restricted licenses for clinical laboratory technologists in toxicology, which could adversely impact the public's access to the services these licensees provide in this State.

Therefore, a second emergency action is necessary at the March 2020 meeting for the preservation of the public health and general welfare in order to immediately conform the Rules of the Board of Regents and the Regulations of the Commissioner of Education to the requirements of Chapter 227 of the Laws of 2019, effective March 9, 2020, which establishes a new restricted license for clinical laboratory technologists in toxicology as long as certain requirements are met and allows individuals employed by a New York State Department of Health certified laboratory who meet the requirements for a restricted license to receive a certification allowing them to perform toxicology laboratory services and to ensure that the emergency adoption taken at the December meeting remains in effect until the proposed rule can be permanently adopted.

It is anticipated that the proposed rule will be presented for adoption as a permanent rule at the April 2020 Regents meeting, which is the first scheduled meeting after the 60-day public comment period prescribed in SAPA for State agency rule makings.

Subject: Restricted License for Clinical Laboratory Technologist.

Purpose: Implement chapter 227 of 2019 by adding toxicology to the category of restricted licenses for clinical laboratory technologists.

Text of emergency rule: Section 79-13.5 of the Regulations of the Commissioner of Education is amended, as follows:

§ 79-13.5. Restricted license.

(a) In accordance with section 8610(1) of the Education Law, the department may issue a restricted clinical laboratory license to perform certain examinations and procedures within the definition of clinical laboratory technology as set forth in section 8601(1) of the Education Law, provided that such a restricted licensee may only perform examinations and procedures in those of the following areas which are specifically listed in his or her certificate: histocompatibility, cytogenetics, stem cell process, flow cytometry/cellular immunology and molecular diagnosis to the extent such molecular diagnosis is included in genetic testing-molecular and molecular oncology, and toxicology as provided in subdivision (b-1) of this section.

(b)

(b-1) Only individuals employed in a New York State Department of Health authorized toxicology laboratory, operating under the direction of a clinical laboratory director, may obtain a certificate in toxicology.

(c) In addition to the requirements set forth in section 8610(1) of the Education Law, to qualify for a restricted license, an applicant shall satisfy the following requirements:

(1)

(2)

(i)

(ii)

(iii)

(iv)

(v) The training program shall include the following curricula for certificates issued in each of the following areas:

(a)

(b)

(c)

(d)

(e)

(f)

(g) For a certificate in the area of toxicology, the training program shall include knowledge of laboratory methods in toxicology, including qualitative and quantitative determination of xenobiotics present in biological specimens. The training program shall also include, but need not be limited to, general laboratory principles and skills; basic principles of chemistry, biology, and the physical sciences; basic principles of pharmacology; basic principles of purification, separation, and extraction techniques; instrumentation and equipment; quality control and quality assurance; laboratory mathematics; the principles of immunoassay techniques; preparation and processing of biological specimens for toxicological analysis; the principles of analytical techniques; review and certification of toxicology results; aseptic technique and infection control and specific clinical applications.

(3)

This notice is intended to serve only as a notice of emergency adoption. This agency intends to adopt the provisions of this emergency rule as a permanent rule, having previously submitted to the Department of State a notice of proposed rule making, I.D. No. EDU-52-19-00008-EP, Issue of December 24, 2019. The emergency rule will expire May 7, 2020.

Text of rule and any required statements and analyses may be obtained from: Kirti Goswami, NYS Education Department, Office of Counsel, 89 Washington Avenue, Room 112EB, Albany, NY 12234, (518) 474-6400, email: legal@nysed.gov

Regulatory Impact Statement

1. STATUTORY AUTHORITY:

Section 207 of the Education Law grants general rule making authority to the Board of Regents to carry into effect the laws and policies of the State relating to education.

Section 6504 of the Education Law authorizes the Board of Regents to supervise the admission to and regulation of the practice of the professions.

Section 6506 of the Education Law authorizes the Board of Regents to supervise the admission to and the practice of the professions.

Paragraph (a) of subdivision (2) of section 6507 of the Education Law authorizes the Commissioner of Education to promulgate regulations in administering the admission to and the practice of the professions.

Section 8610 of the Education Law, as amended by Chapter 227 of the Laws of 2019, establishes a new restricted license for clinical laboratory technologists in toxicology and allows individuals employed by a New York State Department of Health certified laboratory, who meet the requirements for a restricted license, to receive a certification allowing them to perform toxicology laboratory services.

2. LEGISLATIVE OBJECTIVES:

The proposed amendment to section 79-13.5 of the Regulations of the Commissioner of Education is consistent with the above statutory authority and implements Chapter 227 of the Laws of 2019 (Chapter 227) adding toxicology to the category of restricted licenses for clinical laboratory

technologists, establishing education requirements that must be provided by the Clinical Director to those applicants for a restricted license in toxicology and establishing a pathway to licensure for individuals who are employed by a New York State Department of Health authorized toxicology laboratory, operating under the direction of a clinical laboratory director to receive a certification allowing them to perform toxicology laboratory services.

3. NEEDS AND BENEFITS:

The proposed amendment implements Chapter 227, which, effective December 28, 2019, inter alia, amended the Education Law by creating a new restricted license for clinical laboratory technologists in toxicology and allows individuals employed by a New York State Department of Health certified laboratory, who meet the requirements for a restricted license, to receive a certification allowing them to perform toxicology laboratory services.

New York State based clinical toxicology laboratories that hold a permit from the NYS Department of Health's Clinical Laboratory Evaluation Program to provide the services and activities to test and process specimens are required to employ individuals holding valid licenses in clinical laboratory technology (CLT), or certified clinical laboratory technician (CCLT), working under supervision. Currently, in order to obtain a CLT license, an individual must complete a bachelor degree or higher in clinical laboratory technology or an advanced certificate from a program in clinical laboratory technology, or an associate's degree in clinical laboratory technician and then successfully complete a comprehensive qualifying exam in accordance with Education Law § 8605 and § 8606 and Commissioner's Regulations.

Toxicology laboratory volume is at an historic high, since among other matters, the services have become a useful tool in combating the opioid addiction epidemic, as well as assisting in identifying adverse effects of chemical substances in people and establishing the correct dosage of medications in patients. Laboratory results can indicate an individual's adherence to established protocols and important behavioral health outcomes. Laboratories have had great difficulty in filling available staffing positions, in part due to the shortage of licensed personnel in many of the laboratories in New York State. As a result, laboratory tests are sent out of state where they are performed by individuals over whom New York State has no licensing authority of laboratory personnel, although the laboratories are issued a permit by NYSDOH. This is a process that delays the reception of test results. Without creating a pathway to licensure for individuals who are qualified to perform the necessary toxicology laboratory services and activities by establishing a new restricted license, New York State will be further constrained in accessing in-state toxicology laboratory services.

A restricted license in five specific tests and procedures was first established in 2008 by an amendment to Article 165 of the Education Law near the outset of licensure since these specific tests and procedures were often not yet included in the registered programs for clinical laboratory technology and the restricted license enabled laboratories to provide the tests and procedures. The inclusion of toxicology among the restricted licenses in clinical laboratory technology will alleviate the high demand for these services while ensuring appropriate education and supervision. The proposed amendment to section 79-13.5 of the Regulations of the Commissioner of Education implements Chapter 227 by amending 79-13.5 (a) to add toxicology to the category of restricted licenses for clinical laboratory technologists, adding a new subdivision (g) establishing education requirements that must be provided by the Clinical Director to those applicants for a restricted license in toxicology and adding a new subdivision (b-1) to establish a pathway to licensure for individuals who are employed by a New York State Department of Health authorized toxicology laboratory, operating under the direction of a clinical laboratory director to receive a certification allowing them to perform toxicology laboratory services.

The proposed amendment conforms section 79-13.5 of the Regulations of the Commissioner of Education to the amendment made to Education Law § 8610 of the Education Law by Chapter 227.

4. COSTS:

(a) Costs to State government: There are no additional costs to State government.

(b) Costs to local government: There are no additional costs to local government.

(c) Cost to private regulated parties: The proposed amendment does not impose any additional costs on regulated parties.

(d) Cost to the regulatory agency: There are no additional costs to the State Education Department.

5. LOCAL GOVERNMENT MANDATES:

The proposed amendment does not impose any program, service, duty, or responsibility on local governments.

6. PAPERWORK:

There are no new forms, reporting requirements, or other recordkeeping associated with the proposed amendment.

7. DUPLICATION:

The proposed amendment does not duplicate any other existing State or federal requirements.

8. ALTERNATIVES:

The proposed amendment conforms section 79-13.5 of the Regulations of the Commissioner of Education to the amendment made to Education Law § 8610 of the Education Law by Chapter 227. There are no significant alternatives to the proposed amendment and none were considered.

9. FEDERAL STANDARDS:

No Federal standards apply to the subject matter of this rule making. Since there are no applicable federal standards, the proposed amendment does not exceed any minimum federal standards for the same or similar subject areas.

10. COMPLIANCE SCHEDULE:

If adopted at the April 2020 Regents meeting, the proposed amendment will become effective on April 22, 2020. It is anticipated that regulated parties will be able to comply with the proposed amendment by the effective date.

Regulatory Flexibility Analysis

The purpose of the proposed amendment conforms section 79-13.5 of the Regulations of the Commissioner of to the amendment made to Education Law § 8610 by Chapter 227 (Chapter 227) of the Laws of 2019. Effective December 28, 2019, Chapter 227 amended the Education Law by creating a new restricted license for clinical laboratory technologists in toxicology and allows individuals employed by a New York State Department of Health certified laboratory, who meet the requirements for a restricted license, to receive a certification allowing them to perform toxicology laboratory services.

New York State based clinical toxicology laboratories that hold a permit from the NYS Department of Health's Clinical Laboratory Evaluation Program to provide the services and activities to test and process specimens are required to employ individuals holding valid licenses in clinical laboratory technology (CLT), or certified clinical laboratory technician (CCLT), working under supervision. Currently, in order to obtain a CLT license, an individual must complete a bachelor degree or higher in clinical laboratory technology or an advanced certificate from a program in clinical laboratory technology, or an associate's degree in clinical laboratory technician and then successfully complete a comprehensive qualifying exam in accordance with Education Law § 8605 and § 8606 and Commissioner's Regulations.

Toxicology laboratory volume is at an historic high, since among other matters, the services have become a useful tool in combating the opioid addiction epidemic, as well as assisting in identifying adverse effects of chemical substances in people and establishing the correct dosage of medications in patients. Laboratory results can indicate an individual's adherence to established protocols and important behavioral health outcomes. Laboratories have had great difficulty in filling available staffing positions, in part due to the shortage of licensed personnel in many of the laboratories in New York State. As a result, laboratory tests are sent out of state where they are performed by individuals over whom New York State has no licensing authority of laboratory personnel, although the laboratories are issued a permit by NYSDOH. This is a process that delays the reception of test results. Without creating a pathway to licensure for individuals who are qualified to perform the necessary toxicology laboratory services and activities by establishing a new restricted license, New York State will be further constrained in accessing in-state toxicology laboratory services.

A restricted license in five specific tests and procedures was first established in 2008 by an amendment to Article 165 of the Education Law near the outset of licensure since these specific tests and procedures were often not yet included in the registered programs for clinical laboratory technology and the restricted license enabled laboratories to provide the tests and procedures. The inclusion of toxicology among the restricted licenses in clinical laboratory technology will alleviate the high demand for these services while ensuring appropriate education and supervision. The proposed amendment to section 79-13.5 of the Regulations of the Commissioner of Education implements Chapter 227 by amending 79-13.5 (a) to add toxicology to the category of restricted licenses for clinical laboratory technologists, adding a new subdivision (g) establishing education requirements that must be provided by the Clinical Director to those applicants for a restricted license in toxicology and adding a new subdivision (b-1) to establish a pathway to licensure for individuals who are employed by a New York State Department of Health authorized toxicology laboratory, operating under the direction of a clinical laboratory director to receive a certification allowing them to perform toxicology laboratory services.

The proposed amendment will not impose any reporting, recordkeeping, or other compliance requirements or costs, or have an adverse impact, on small businesses or local governments. Because it is evident from the nature of the proposed amendment that it will not affect small businesses

or local governments, no affirmative steps were needed to ascertain that fact and none were taken. Accordingly, a regulatory flexibility analysis for small businesses and local governments is not required, and one has not been prepared.

Rural Area Flexibility Analysis

The purpose of the proposed amendment conforms section 79-13.5 of the Regulations of the Commissioner of to the amendment made to Education Law § 8610 by Chapter 227 (Chapter 227) of the Laws of 2019. Effective December 28, 2019, Chapter 227 amended the Education Law by creating a new restricted license for clinical laboratory technologists in toxicology and allows individuals employed by a New York State Department of Health certified laboratory, who meet the requirements for a restricted license, to receive a certification allowing them to perform toxicology laboratory services.

New York State based clinical toxicology laboratories that hold a permit from the NYS Department of Health's Clinical Laboratory Evaluation Program to provide the services and activities to test and process specimens are required to employ individuals holding valid licenses in clinical laboratory technology (CLT), or certified clinical laboratory technician (CCLT), working under supervision. Currently, in order to obtain a CLT license, an individual must complete a bachelor's degree or higher in clinical laboratory technology or an advanced certificate from a program in clinical laboratory technology, or an associate degree in clinical laboratory technician and then successfully complete a comprehensive qualifying exam in accordance with Education Law § 8605 and § 8606 and Commissioner's Regulations.

Toxicology laboratory volume is at an historic high, since among other matters, the services have become a useful tool in combating the opioid addiction epidemic, as well as assisting in identifying adverse effects of chemical substances in people and establishing the correct dosage of medications in patients. Laboratory results can indicate an individual's adherence to established protocols and important behavioral health outcomes. Laboratories have had great difficulty in filling available staffing positions, in part due to the shortage of licensed personnel in many of the laboratories in New York State. As a result, laboratory tests are sent out of state where they are performed by individuals over whom New York State has no licensing authority of laboratory personnel, although the laboratories are issued a permit by NYSDOH. This is a process that delays the reception of test results. Without creating a pathway to licensure for individuals who are qualified to perform the necessary toxicology laboratory services and activities by establishing a new restricted license, New York State will be further constrained in accessing in-state toxicology laboratory services.

A restricted license in five specific tests and procedures was first established in 2008 by an amendment to Article 165 of the Education Law near the outset of licensure since these specific tests and procedures were often not yet included in the registered programs for clinical laboratory technology and the restricted license enabled laboratories to provide the tests and procedures. The inclusion of toxicology among the restricted licenses in clinical laboratory technology will alleviate the high demand for these services while ensuring appropriate education and supervision. The proposed amendment to section 79-13.5 of the Regulations of the Commissioner of Education implements Chapter 227 by amending 79-13.5 (a) to add toxicology to the category of restricted licenses for clinical laboratory technologists, adding a new subdivision (g) establishing education requirements that must be provided by the Clinical Director to those applicants for a restricted license in toxicology and adding a new subdivision (b-1) to establish a pathway to licensure for individuals who are employed by a New York State Department of Health authorized toxicology laboratory, operating under the direction of a clinical laboratory director to receive a certification allowing them to perform toxicology laboratory services.

The proposed amendment is applicable to all applicants for licensure, including those in rural areas of this State. Thus, the proposed amendment does not adversely impact entities in rural areas of New York State. Accordingly, no further steps were needed to ascertain the impact of the proposed amendment on entities in rural areas and none were taken. Thus, a rural flexibility analysis is not required and one has not been prepared.

Job Impact Statement

It is not anticipated that the proposed amendment will impact jobs or employment opportunities. This is because the proposed amendment conforms section 79-13.5 of the Regulations of the Commissioner of to the amendment made to Education Law § 8610 by Chapter 227 (Chapter 227) of the Laws of 2019. Effective December 28, 2019, Chapter 227 amended the Education Law by creating a new restricted license for clinical laboratory technologists in toxicology and allows individuals employed by a New York State Department of Health certified laboratory, who meet the requirements for a restricted license, to receive a certification allowing them to perform toxicology laboratory services.

New York State based clinical toxicology laboratories that hold a permit from the NYS Department of Health's Clinical Laboratory Evaluation Program to provide the services and activities to test and process specimens are required to employ individuals holding valid licenses in clinical laboratory technology (CLT), or certified clinical laboratory technician (CCLT), working under supervision. Currently, in order to obtain a CLT license, an individual must complete a bachelor degree or higher in clinical laboratory technology or an advanced certificate from a program in clinical laboratory technology, or an associate's degree in clinical laboratory technician and then successfully complete a comprehensive qualifying exam in accordance with Education Law § 8605 and § 8606 and Commissioner's Regulations.

Toxicology laboratory volume is at an historic high, since among other matters, the services have become a useful tool in combating the opioid addiction epidemic, as well as assisting in identifying adverse effects of chemical substances in people and establishing the correct dosage of medications in patients. Laboratory results can indicate an individual's adherence to established protocols and important behavioral health outcomes. Laboratories have had great difficulty in filling available staffing positions, in part due to the shortage of licensed personnel in many of the laboratories in New York State. As a result, laboratory tests are sent out of state where they are performed by individuals over whom New York State has no licensing authority of laboratory personnel, although the laboratories are issued a permit by NYSDOH. This is a process that delays the reception of test results. Without creating a pathway to licensure for individuals who are qualified to perform the necessary toxicology laboratory services and activities by establishing a new restricted license, New York State will be further constrained in accessing in-state toxicology laboratory services.

A restricted license in five specific tests and procedures was first established in 2008 by an amendment to Article 165 of the Education Law near the outset of licensure since these specific tests and procedures were often not yet included in the registered programs for clinical laboratory technology and the restricted license enabled laboratories to provide the tests and procedures. The inclusion of toxicology among the restricted licenses in clinical laboratory technology will alleviate the high demand for these services while ensuring appropriate education and supervision. The proposed amendment to section 79-13.5 of the Regulations of the Commissioner of Education implements Chapter 227 by amending 79-13.5 (a) to add toxicology to the category of restricted licenses for clinical laboratory technologists, adding a new subdivision (g) establishing education requirements that must be provided by the Clinical Director to those applicants for a restricted license in toxicology and adding a new subdivision (b-1) to establish a pathway to licensure for individuals who are employed by a New York State Department of Health authorized toxicology laboratory, operating under the direction of a clinical laboratory director to receive a certification allowing them to perform toxicology laboratory services.

The proposed amendment will not have a substantial adverse impact on jobs and employment opportunities. Because it is evident from the nature of the proposed amendment that it will have no impact on jobs or employment opportunities attributable to its adoption or only a positive impact, no affirmative steps were needed to ascertain these facts and none were taken. Accordingly, a job impact statement is not required and one has not been prepared.

Assessment of Public Comment

Following publication of the Notice of Emergency Adoption and Proposed Rule Making in the State Register on December 24, 2019, the Department received the following comments on the proposed regulation:

1. COMMENT: A commenter writes in support of the proposed regulation noting that New York toxicology laboratories have been seeking to hire individuals educated in toxicology, however, they have been unable to do so due to the licensure requirement for clinical laboratories in New York. They state that this has resulted in acute staff shortages in the face of the ongoing opioid epidemic. The commenter notes that without a viable pathway to licensure, many graduates of institutions of higher education have been forced to seek employment outside of New York State. The commenter recognizes that the proposed amendment ensures that an individual eligible to obtain restricted toxicology licensure possess knowledge of certain laboratory methods in toxicology, obtain additional on the job training, and possess the appropriate educational background. Additionally, the commenter writes that they "commend SED, and in particular the State Board for Clinical Laboratory Technology, for thoughtfully analyzing and ultimately recommending the appropriate principles and skills than an individual must achieve in order to receive a restricted toxicology certificate."

Response: The Department agrees with this positive comment. The proposed amendment is intended to create a pathway to licensure for individuals who are qualified to perform the necessary toxicology laboratory services and activities by establishing a new restricted license in order to increase access to in-state toxicology laboratory services.

EMERGENCY RULE MAKING

Continuing Education in the Profession of Public Accountancy

I.D. No. EDU-52-19-00009-E

Filing No. 196

Filing Date: 2020-03-09

Effective Date: 2020-03-09

PURSUANT TO THE PROVISIONS OF THE State Administrative Procedure Act, NOTICE is hereby given of the following action:

Action taken: Amendment of section 70.9(a) of Title 8 NYCRR.

Statutory authority: Education Law, sections 207, 6504, 6507, 6509, 7401, 7409; L. 2018, ch. 413

Finding of necessity for emergency rule: Preservation of general welfare.

Specific reasons underlying the finding of necessity: The proposed amendment to subdivision (a) of section 70.9 of the Regulations of the Commissioner of Education is necessary to implement Chapter 413 (Chapter 413) of the Laws of 2018, which amends the Education Law, effective January 1, 2020, to eliminate the three-year exemption from the mandatory continuing education requirement for newly licensed certified public accountants and public accountants.¹

The proposed amendment to subdivision (a) of section 70.9 of the Regulations of the Commissioner of Education implements Chapter 413 by deleting the three-year exemption from the mandatory continuing education requirement provisions for newly licensed certified public accountants.

The proposed amendment was presented to the Professional Practice Committee for recommendation and to the Full Board for adoption as an emergency action at the December 2019 meeting of the Board of Regents, effective January 1, 2020. Since the Board of Regents meets at fixed intervals, the earliest the proposed rule can be presented for permanent adoption, after expiration of the required 60-day comment period provided for in the State Administrative Procedure Act (SAPA) sections 201(1) and (5), would be the April 6-7, 2020 Regents meeting. Furthermore, pursuant to SAPA 203(1), the earliest effective date of the proposed rule, if adopted at April meeting would be April 22, 2020, the date the Notice of Adoption would be published in the State Register. However, the December emergency rule will expire on March 8, 2020. If the rule were to lapse, it would undermine the intent of Chapter 413, which is to increase public protection in the profession of public accountancy by eliminating the three-year exemption from the mandatory continuing education requirement for newly licensed certified public accountants in order to ensure that all certified public accountants maintain their professional competency.

Therefore, a second emergency action is necessary at the March meeting for the preservation of the general welfare in order to immediately conform the Regulations of the Commissioner of Education to the requirements of Chapter 413, which became effective January 1, 2020 and to ensure that the emergency adoption taken at the December meeting remains in effect until the proposed rule can be permanently adopted.

It is anticipated that the proposed rule will be presented for adoption as a permanent rule at the April 2020 Regents meeting, which is the first scheduled meeting after the 60-day public comment period prescribed in SAPA for State agency rule makings.

¹ It should be noted that New York State no longer issues licenses for public accountants. In fact, no new public accountant licenses have been issued in this State in nearly sixty years. Thus, while Chapter 413's elimination of the three-year exemption from the mandatory continuing education requirement applies to both newly licensed certified public accountants and public accountants, there will be no newly licensed public accountants to apply it to.

Subject: Continuing Education in the Profession of Public Accountancy.

Purpose: Implement the provisions of chapter 413 of the Laws of 2018.

Text of emergency rule: 1. Subdivision (a) of section 70.9 of the Regulations of the Commissioner of Education is amended, as follows:

Section 70.9. Continuing education

(a) Applicability of requirement.

(1) All licensees engaged in the practice of public accountancy in this State, as defined in Education Law section 7401, either full time or part time, and required under article 130 of the Education Law to register triennially with the Department, shall complete the continuing education requirements in accordance with this section, except those licensees exempt from the requirement pursuant to paragraph (2) of this subdivision.

(2) Exemptions and adjustments in the requirement.

(i) [New licensees shall be exempt from mandatory continuing education requirements for the triennial registration period in which they are first licensed by the Department.] A new licensee shall become subject to the mandatory continuing education requirements on the first January 1 that falls in his or her [second] first registration period.

This notice is intended to serve only as a notice of emergency adoption. This agency intends to adopt the provisions of this emergency rule as a permanent rule, having previously submitted to the Department of State a notice of proposed rule making, I.D. No. EDU-52-19-00009-EP, Issue of December 24, 2019. The emergency rule will expire May 7, 2020.

Text of rule and any required statements and analyses may be obtained from: Kirti Goswami, NYS Education Department, Office of Counsel, 89 Washington Avenue, Room 112 EB, Albany, NY 12234, (518) 474-6400, email: legal@nysed.gov

Regulatory Impact Statement

1. STATUTORY AUTHORITY:

Section 207 of the Education Law grants general rule making authority to the Board of Regents to carry into effect the laws and policies of the State relating to education.

Section 6504 of the Education Law authorizes the Board of Regents to supervise the admission to and regulation of the practice of the professions.

Paragraph (a) of subdivision (2) of section 6507 of the Education Law authorizes the Commissioner of Education to promulgate regulations in administering the admission to and the practice of the professions.

Section 6509 of the Education Law authorizes the Board of Regents to promulgate rules regarding professional misconduct in certain professions.

Section 7401 of the Education Law defines the profession of public accountancy.

Section 7409 of the Education Law, as amended by Chapter 413 of the Laws of 2018, effective January 1, 2020, amends the Education Law to eliminate the three-year exemption from the mandatory continuing education requirement for newly licensed certified public accountants and public accountants.¹

2. LEGISLATIVE OBJECTIVES:

The proposed amendment to subdivision (a) of section 70.9 of the Regulations of the Commissioner of Education is consistent with the above statutory authority and is necessary to implement Chapter 413 by deleting the three-year exemption from the mandatory continuing education requirement provisions for newly licensed certified public accountants.

3. NEEDS AND BENEFITS:

The proposed amendment implements Chapter 413 (Chapter 413) of the Laws of 2019, which, effective January 1, 2020, amends the Education Law by eliminating the three-year exemption from the mandatory continuing education requirement for newly licensed certified public accountants and public accountants.

Currently, certified public accountants are exempt from the mandatory continuing education requirement for the triennial registration period during which they are first licensed by the Department. However, as the pace of technology, proliferation of regulations and increasing specialization accelerates; one of the greatest challenges for all certified public accountants is the attainment, maintenance and advancement of professional competence. To meet this challenge and to maintain public confidence, it is critical that all certified public accountants are and remain current with the standards, knowledge, skills, and abilities in all areas in which they provide services. It is not enough that an individual is successful in completing an accountancy education and passing a licensing examination. In today's complex and complicated world, all certified public accountants need to demonstrate that they are taking substantive steps to maintain their professional competency. Unprofessional and/or unethical practice of public accountancy causes harm to the public. Thus, by eliminating the three-year exemption from the mandatory continuing education requirement for newly licensed certified public accountants, Chapter 413 will further increase public protection in the profession of public accountancy.

The proposed amendment conforms subdivision (a) of section 70.9 of the Regulations of the Commissioner of Education to the amendment made to section 7409 of the Education Law by Chapter 413.

4. COSTS:

(a) Costs to State government: There are no additional costs to State government.

(b) Costs to local government: There are no additional costs to local government.

(c) Cost to private regulated parties: The proposed amendment does not impose any additional costs on private regulated parties beyond those required by statute. As required by Education Law section 7409(5) and paragraph (1) of subdivision (h) of section 70.9 of the Regulations of the Commissioner of Education, a mandatory continuing education fee of \$50 shall be collected from any licensee who is required under Article 130 of the Education Law to register triennially with the Department at the beginning of each triennial registration period.

(d) Cost to the regulatory agency: There are no additional costs to the State Education Department.

5. LOCAL GOVERNMENT MANDATES:

The proposed amendment does not impose any program, service, duty, or responsibility on local governments.

6. PAPERWORK:

There are no new forms, reporting requirements, or other recordkeeping associated with the proposed amendment.

7. DUPLICATION:

The proposed amendment does not duplicate any other existing State or federal requirements.

8. ALTERNATIVES:

The proposed amendment conforms subdivision (a) of section 70.9 of the Regulations of the Commissioner of Education implements Chapter 413 by deleting the three-year exemption from the mandatory continuing education requirement provisions for newly licensed certified public accountants. There are no significant alternatives to the proposed amendment and none were considered.

9. FEDERAL STANDARDS:

No Federal standards apply to the subject matter of this rule making. The Federal government does not regulate the mandatory continuing education requirements for licensed certified public accountants.

10. COMPLIANCE SCHEDULE:

If adopted at the December 2019 Regents meeting, the emergency rule will become effective January 1, 2020. It is anticipated that the proposed rule will be presented to the Board of Regents for permanent adoption at the April 2020 Regents meeting. If adopted at the April 2020 Regents meeting, the proposed amendment will become effective on April 22, 2020. It is anticipated that regulated parties will be able to comply with the proposed amendment by the effective date.

¹ It should be noted that New York State no longer issues licenses for public accountants. In fact, no new public accountant licenses have been issued in this State in nearly sixty years. Thus, while Chapter 413's elimination of the three-year exemption from the mandatory continuing education requirement applies to both newly licensed certified public accountants and public accountants, there will be no newly licensed public accountants to apply it to.

Regulatory Flexibility Analysis

The purpose of the proposed amendment to subdivision (a) of section 70.9 of the Regulations of the Commissioner of Education is to conform the regulation to the amendment made to section 7409 of the Education Law by Chapter 413 (Chapter 413) of the Laws of 2018. Effective January 1, 2020, Chapter 413 amends the Education Law by eliminating the three-year exemption from the mandatory continuing education requirement for newly licensed certified public accountants and public accountants.¹

Currently, certified public accountants are exempt from the mandatory continuing education requirement for the triennial registration period during which they are first licensed by the Department. However, as the pace of technology, proliferation of regulations and increasing specialization accelerates; one of the greatest challenges for all certified public accountants is the attainment, maintenance and advancement of professional competence. To meet this challenge and to maintain public confidence, it is critical that all certified public accountants are and remain current with the standards, knowledge, skills, and abilities in all areas in which they provide services. It is not enough that an individual is successful in completing an accountancy education and passing a licensing examination. In today's complex and complicated world, all certified public accountants need to demonstrate that they are taking substantive steps to maintain their professional competency. Unprofessional and/or unethical practice of public accountancy causes harm to the public. Thus, by eliminating the three-year exemption from the mandatory continuing education requirement for newly licensed certified public accountants, Chapter 413 will further increase public protection in the profession of public accountancy.

The proposed amendment will not impose any reporting, recordkeeping, or other compliance requirements or costs, or have an adverse impact, on small businesses or local governments. Because it is evident from the nature of the proposed amendment that it will not affect small businesses or local governments, no affirmative steps were needed to ascertain that fact and none were taken. Accordingly, a regulatory flexibility analysis for small businesses and local governments is not required, and one has not been prepared.

¹ It should be noted that New York State no longer issues licenses for public accountants. In fact, no new public accountant licenses have been issued in this State in nearly sixty years. Thus, while Chapter 413's elimination of the three-year exemption from the mandatory continuing education requirement applies to both newly licensed certified public

accountants and public accountants, there will be no newly licensed public accountants to apply it to.

Rural Area Flexibility Analysis

The purpose of the proposed amendment to subdivision (a) of section 70.9 of the Regulations of the Commissioner of Education is to conform the regulation to the amendment made to section 7409 of the Education Law by Chapter 413 (Chapter 413) of the Laws of 2018. Effective January 1, 2020, Chapter 413 amends the Education Law by eliminating the three-year exemption from the mandatory continuing education requirement for newly licensed certified public accountants and public accountants.¹

Currently, certified public accountants are exempt from the mandatory continuing education requirement for the triennial registration period during which they are first licensed by the Department. However, as the pace of technology, proliferation of regulations and increasing specialization accelerates; one of the greatest challenges for all certified public accountants is the attainment, maintenance and advancement of professional competence. To meet this challenge and to maintain public confidence, it is critical that all certified public accountants are and remain current with the standards, knowledge, skills, and abilities in all areas in which they provide services. It is not enough that an individual is successful in completing an accountancy education and passing a licensing examination. In today's complex and complicated world, all certified public accountants need to demonstrate that they are taking substantive steps to maintain their professional competency. Unprofessional and/or unethical practice of public accountancy causes harm to the public. Thus, by eliminating the three-year exemption from the mandatory continuing education requirement for newly licensed certified public accountants, Chapter 413 will further increase public protection in the profession of public accountancy.

The proposed amendment eliminating the three-year exemption from the mandatory continuing education requirement for newly licensed certified public accountants and public accountants is applicable to all new licensees in this profession, including those in rural areas of this State. Thus, the proposed amendment does not adversely impact entities in rural areas of New York State. Accordingly, no further steps were needed to ascertain the impact of the proposed amendment on entities in rural areas and none were taken. Thus, a rural flexibility analysis is not required and one has not been prepared.

¹ It should be noted that New York State no longer issues licenses for public accountants. In fact, no new public accountant licenses have been issued in this State in nearly sixty years. Thus, while Chapter 413's elimination of the three-year exemption from the mandatory continuing education requirement applies to both newly licensed certified public accountants and public accountants, there will be no newly licensed public accountants to apply it to.

Job Impact Statement

It is not anticipated that the proposed amendment will impact jobs or employment opportunities. This is because the proposed amendment conforms subdivision (a) of section 70.9 of the Regulations of the Commissioner of Education to the amendment made to section 7409 of the Education Law by Chapter 413 (Chapter 413) of the Laws of 2018. Effective January 1, 2020, Chapter 413 amends the Education Law by eliminating the three-year exemption from the mandatory continuing education requirement for newly licensed certified public accountants and public accountants.¹

Currently, certified public accountants are exempt from the mandatory continuing education requirement for the triennial registration period during which they are first licensed by the Department. However, as the pace of technology, proliferation of regulations and increasing specialization accelerates; one of the greatest challenges for all certified public accountants is the attainment, maintenance and advancement of professional competence. To meet this challenge and to maintain public confidence, it is critical that all certified public accountants are and remain current with the standards, knowledge, skills, and abilities in all areas in which they provide services. It is not enough that an individual is successful in completing an accountancy education and passing a licensing examination. In today's complex and complicated world, all certified public accountants need to demonstrate that they are taking substantive steps to maintain their professional competency. Unprofessional and/or unethical practice of public accountancy causes harm to the public. Thus, by eliminating the three-year exemption from the mandatory continuing education requirement for newly licensed certified public accountants, Chapter 413 will further increase public protection in the profession of public accountancy.

The proposed amendment will not have a substantial adverse impact on jobs and employment opportunities. Because it is evident from the nature of the proposed amendment that it will have no impact on jobs or employment opportunities attributable to its adoption or only a positive impact,

no affirmative steps were needed to ascertain these facts and none were taken. Accordingly, a job impact statement is not required and one has not been prepared.

¹ It should be noted that New York State no longer issues licenses for public accountants. In fact, no new public accountant licenses have been issued in this State in nearly sixty years. Thus, while Chapter 413's elimination of the three-year exemption from the mandatory continuing education requirement applies to both newly licensed certified public accountants and public accountants, there will be no newly licensed public accountants to apply it to.

Assessment of Public Comment

The agency received no public comment.

EMERGENCY RULE MAKING

Duties and Responsibilities of the Counsel of the State Education Department

I.D. No. EDU-52-19-00010-E

Filing No. 194

Filing Date: 2020-03-09

Effective Date: 2020-03-09

PURSUANT TO THE PROVISIONS OF THE State Administrative Procedure Act, NOTICE is hereby given of the following action:

Action taken: Amendment of section 3.8(b) of Title 8 NYCRR.

Statutory authority: Education Law, section 101 (not subdivided)

Finding of necessity for emergency rule: Preservation of general welfare.

Specific reasons underlying the finding of necessity: The proposed amendment is necessary to conform the Rules of the Board of Regents to changes made in the internal organization of the State Education Department since the position of executive deputy commissioner is currently vacant. The proposed amendment removes provisions relating to the executive deputy commissioner and designates the Counsel as the deputy commissioner of education as specified in Education Law section 101, who in the absence or disability of the Commissioner or when a vacancy exists in the office of Commissioner, shall exercise and perform the functions, powers and duties of the Commissioner.

The proposed amendment was presented to the Full Board for adoption as an emergency action at the December 2019 meeting of the Board of Regents, effective January 6, 2020. Since the Board of Regents meets at fixed intervals, the earlier the proposed amendment could be adopted by regular (non-emergency) action, pursuant to the requirements of the State Administrative Procedure Act- including publication in the State Register and expiration of a 60-day public comment period, is the April 2020 Regents meeting, and the earliest an adoption at such meeting could be made effective would be April 22, 2020.

The December emergency rule will expire on March 8, 2020, therefore a second emergency action is necessary at the March 2020 Regents meeting for the preservation of the general welfare in order to ensure that the Rules of the Board of Regents are immediately brought into conformance with changes in the Department's internal organization, so as to ensure that the Counsel is able to immediately carry out her duties and responsibilities relating to the Counsel's designation as the deputy commissioner of education under Education Law section 101, including the ability to exercise and perform the functions, powers and duties of the Commissioner in his or her absence or disability, or if a vacancy exists in the office of the Commissioner.

It is anticipated that the proposed rule will be presented to the Board of Regents for adoption as a permanent rule at the April 2020 meeting, which is the first scheduled meeting after expiration of the 60-day public comment period mandated by the State Administrative Procedure Act.

Subject: Duties and responsibilities of the counsel of the State Education Department.

Purpose: To designate counsel as the deputy commissioner of education as specified in Education Law, section 101.

Text of emergency rule: 1. Paragraph (b) of section 3.8 of the Rules of the Board of Regents is amended to read as follows:

(b) The [executive deputy commissioner] *counsel* shall be the deputy commissioner of education as specified in section 101 of the Education Law. In the absence or disability of the commissioner or when a vacancy exists in the office of commissioner, the [executive deputy commissioner] *counsel* shall exercise and perform the functions, powers and duties

conferred or imposed on the commissioner by statute and by rule of the Regents.

This notice is intended to serve only as a notice of emergency adoption. This agency intends to adopt the provisions of this emergency rule as a permanent rule, having previously submitted to the Department of State a notice of proposed rule making, I.D. No. EDU-52-19-00010-EP, Issue of December 24, 2019. The emergency rule will expire May 7, 2020.

Text of rule and any required statements and analyses may be obtained from: Kirti Goswami, NYS Education Department, Office of Counsel, 89 Washington Avenue, Room 112 EB, Albany, NY 12234, (518) 474-6400, email: legal@nysed.gov

Regulatory Impact Statement

1. STATUTORY AUTHORITY:

Education Law § 101 (not subdivided) designates the Board of Regents as the head of the State Education Department and the Commissioner of Education as Chief administrative officer. The statute provides that the Regents may also appoint and, at please, remove a deputy commissioner of education, who shall perform such duties as the Regents may assign by rule and who, in the absence or disability of the Commissioner or when a vacancy exists in the office of Commissioner, shall exercise and perform the functions, powers and duties conferred or imposed on the Commissioner by the Education Law.

2. LEGISLATIVE OBJECTIVES:

Consistent with the authority granted to the Board of Regents pursuant to Education Law section 101, the proposed amendment designates the Counsel of the State Education Department as the deputy commissioner of education as specified in Education Law section 101: "...who shall perform such duties as the regents may assign to him by rule and who, in the absence or disability of the commissioner or when a vacancy exists in the office of commissioner, shall exercise and perform the functions, power and duties conferred or imposed on the commissioner by this chapter."

3. NEEDS AND BENEFITS:

The proposed amendment is necessary to conform the Rules of the Board of Regents to changes made in the internal organization of the State Education Department, regarding vacancy in the position of executive deputy commissioner. The amendment will designate the Counsel of the State Education Department as the deputy commissioner of education as specified in Education Law section 101, who, in the absence or disability of the Commissioner or when a vacancy exists in the office of Commissioner, shall exercise and perform the functions, powers and duties of the Commissioner.

4. COSTS:

a. Costs to State government: The amendments do not impose any costs on State government, including the State Education Department.

b. Costs to local government: The amendments do not impose any costs on local government.

c. Costs to private regulated parties: The amendments do not impose any costs on private regulated parties.

d. Costs to regulating agency for implementation and continued administration: The amendments do not impose any costs on the regulating agency for implementation and continued administration.

5. LOCAL GOVERNMENT MANDATES:

The proposed amendment relates solely to the internal administration of the State Education Department and does not impose any program, service, duty or responsibility upon any county, city, town, village, school district, fire district or other special district.

6. PAPERWORK:

The proposed amendment does not impose any reporting or other paperwork requirements.

7. DUPLICATION:

The proposed amendment relates solely to the internal administration of the State Education Department. There are no relevant statutes, rules, or other legal requirements of the State and Federal governments, including those which may duplicate, overlap or conflict with the rule.

8. ALTERNATIVES:

The proposed amendment is necessary to conform the Rules of the Board of Regents to changes in the internal organization of the State Education Department. There are no significant alternatives and none were considered.

9. FEDERAL STANDARDS:

There are no applicable standards of the Federal government for the subject are of the proposed amendment, which relates solely to the internal administration of the State Education Department.

10. COMPLIANCE SCHEDULE:

The proposed amendment relates solely to the internal administration of the State Education Department and does not impose any compliance requirements on any regulated parties.

Regulatory Flexibility Analysis

The proposed amendment relates solely to the internal organization of the State Education Department, regarding vacancy in the position of execu-

tive deputy commissioner and does not impose any adverse economic impact, reporting, recordkeeping or other compliance requirements on small businesses or local governments. Because it is evident from the nature of the proposed amendment that it does not affect small businesses or local governments, no further steps were needed to ascertain that fact and non were taken. Accordingly, a regulatory flexibility analysis for small businesses and local governments is not required and one has not been prepared.

Rural Area Flexibility Analysis

The proposed amendment relates solely to the internal organization of the State Education Department regarding vacancy in the position of executive deputy commissioner and does not impose any adverse economic impact, reporting, recordkeeping or other compliance in public and private sector interests in rural areas. Because it is evident from the nature of the proposed amendment that it does not affect such interests, no further steps were needed to ascertain that fact and non were taken. Accordingly, a rural flexibility is not required and one has not been prepared.

Job Impact Statement

The proposed amendment relates solely to the internal organization of the State Education Department regarding vacancy in the position of executive deputy commissioner and will not have a substantial impact on jobs and employment opportunities. Because it is evident from the nature of the proposed amendment that no substantial impact will occur, no further steps were needed to ascertain that fact and non were taken. Accordingly, a job impact statement is not required and one has not been prepared.

Assessment of Public Comment

The agency received no public comment.

Department of Environmental Conservation

EMERGENCY/PROPOSED RULE MAKING NO HEARING(S) SCHEDULED

Regulations Governing Commercial Fishing of Tautog (blackfish)

I.D. No. ENV-12-20-00001-EP

Filing No. 189

Filing Date: 2020-03-05

Effective Date: 2020-03-05

PURSUANT TO THE PROVISIONS OF THE State Administrative Procedure Act, NOTICE is hereby given of the following action:

Proposed Action: Amendment of Part 40 of Title 6 NYCRR.

Statutory authority: Environmental Conservation Law, sections 13-0105 and 13-0340-d

Finding of necessity for emergency rule: Preservation of general welfare.

Specific reasons underlying the finding of necessity: This emergency rule making is necessary for the preservation of the general welfare. Failure to adopt this rule as an emergency will result in population declines to critical tautog fishery stock and the closure of New York State's tautog fishery by the federal government due to New York State's failure to comply with mandatory Interstate Fishery Management Plans (FMPs).

The Department of Environmental Conservation (DEC) is implementing a new commercial tautog tagging program to remain in compliance with the Atlantic States Marine Fisheries Commission's (ASMFC) FMP for Tautog. The tautog in New York State regional waters are overfished and experiencing overfishing based on the last stock assessment conducted by ASMFC in 2016. Implementation of the tagging program is required to minimize the coast-wide illegal and unreported catch of tautog which has been identified as a critical issue to address to reduce tautog overharvest. The amendment will require all commercially harvested tautog be tagged with a single-use serialized tag. Any tautog without a commercial tag will not be able to be offered for sale, barter, or trade.

New York State must remain in compliance with the FMP to avoid the closure of New York State's tautog fishery by the federal government and to help protect the status of a vulnerable fishery.

Subject: Regulations governing commercial fishing of Tautog (blackfish).

Purpose: To revise regulations concerning the commercial harvest of Tautog in New York State.

Text of emergency/proposed rule: Existing subdivision 40.1(a) of 6 NYCRR, "Definitions," is amended to add a new paragraph (7) to read as follows:

(7) The tautog tagging season means the period of time when commercial tautog tags may be applied to legally harvested tautog. The season shall run from April 16 through January 25.

Existing subdivision 40.1(o) of 6 NYCRR is amended to read as follows:

Existing paragraph 40.1(o)(4) is amended to read as follows:

(4) No individual may possess tautog in storage in the waters of the marine and coastal district in excess of the commercial possession limit[.] unless the individual submits trip reports for all live stored tautog, as specified in subparagraph (5)(iv) of this subdivision, to the department within twenty-four hours of landing. Individuals must retain copies of submitted trip reports for inspection onboard their vessel during the tagging season.

A new paragraph 40.1(o)(5) is added to read as follows:

(5) Commercial Tagging Requirements.

(i) All commercially harvested tautog must be tagged with a single-use serialized tag as specified by the department. Only tags issued for the tautog tagging season in which the fish was harvested may be applied to tautog. Tags must be applied to one of the tautog's gill plates with the tag information visible on the outside of the fish. Tags must be applied prior to any commercially harvested species from the trip being offloaded or transferred to shore, to another vessel, to an in-water storage unit, or to any pier, wharf, dock or similar structure.

(ii) Possession of a valid food fish license, issued pursuant to section 13-0335 of the Environmental Conservation Law, is required to be eligible to order tags. A tag order must be submitted and approved by the department before any tags can be issued. The license holder may be required to pay a fee not to exceed 35 cents per tag issued to the license holder. Any required fee for the tags must be paid in full before tags will be issued to the license holder. No refunds or replacements will be made for tags which are lost, damaged, returned, confiscated, or stolen. After the license holder's initial tag order, the license holder must account for eighty percent of the tags the license holder has been issued during the current tagging season before the license holder's next tag order can be approved. Tags must be accounted for through trip reports or damaged tags returned to the department. Failure to account for over twenty percent of the tags issued to the license holder during the current tagging season will result in the department denying any additional tag orders for the current tagging season. A license holder whose tag order has been denied may submit an excessive loss application, on a form provided by the department, for the opportunity to receive one additional tag order during that tagging season.

(iii) The maximum number of tags that may be issued in a single tag order is the highest historical number of tautog reported as landed in one calendar year by the license holder during one of the previous three calendar years immediately preceding the year of issue. For purposes of determining the amount of reported landings, only the following documented landings will be counted: landings submitted to the department through state vessel trip reports, federal vessel trip reports, and landings submitted electronically through the Atlantic Coastal Cooperative Statistics Program. A license holder who is unable to document a history of tautog landings in one of the three calendar years immediately preceding the year of issue, is eligible to submit one tag order per business week for a maximum of 50 tags per tag order.

(iv) In addition to the trip reporting requirements in subdivision 40.1(c), food fish license holders harvesting tautog must also include the following information in their trip reports: the tautog tag serial numbers used for the trip, the weight of the tautog (in pounds), and the number of tautog taken. License holders who operate federally permitted vessels and harvest tautog must complete and submit the State copy of their fishing vessel trip report (NOAA Form No. 88-30) to the department for each commercial tautog trip. License holders must submit their final tautog report, along with the NY Tautog Tag Accounting Form, by February 15 for the previous tagging season. License holders who fail to submit complete and accurate reports to the department by February 15 may not be eligible to receive tautog tags for the following tagging season.

(v) It is unlawful to reuse or alter any tautog tag. Any license holder who loses tags must report the loss to the department on their fishing reports or through a form provided by the department within twenty-four hours. Tautog tags are non-transferable, and it is unlawful for any person to possess tautog tags issued to another license holder, except as a designated agent to pick up and deliver a tag order from the department. At no time may a designated agent be in possession of another license holder's tags while onboard a vessel or in possession of tautog.

(vi) All food fish license holders who are issued tautog tags must return any unused or damaged tags to the department by February 15 after the tagging season for which they were issued. A license holder who

fails to return unused tags may not be eligible to receive tautog tags for the following tagging season.

(vii) It is unlawful to sell, or offer for sale, untagged whole tautog. It is unlawful to sell, or offer for sale, tautog fillets or parts unless the tagged carcass from which such fillets or parts were removed is present and available for inspection. Possession of untagged tautog, or tautog fillets or parts without the properly tagged carcass, in establishments where fish are sold or offered for sale (including wholesale establishments, retail establishments, and restaurants) is presumptive evidence of the intent to sell, trade, or barter such tautog. All New York harvested tautog which are tagged during the tautog tagging season may be offered for sale, trade, or barter through March 15. After March 15, tautog tagged during the previous tautog tagging season must not be offered for sale, trade or barter.

(viii) Tautog legally harvested from other states, that are tagged with serially numbered tags provided by the state of origin, may be sold or offered for sale if the tautog meets all applicable provisions of the Environmental Conservation Law.

This notice is intended: to serve as both a notice of emergency adoption and a notice of proposed rule making. The emergency rule will expire June 2, 2020.

Text of rule and any required statements and analyses may be obtained from: Rachel Sysak, Department of Environmental Conservation, 205 North Belle Mead Rd., Suite 1, East Setauket, NY 11733, (631) 444-0469, email: rachel.sysak@dec.ny.gov

Data, views or arguments may be submitted to: Same as above.

Public comment will be received until: 60 days after publication of this notice.

Additional matter required by statute: DEC has determined that the Notice of Emergency Adoption is a Type II action and no further review is required pursuant to Article 8 of the ECL, the State Environmental Quality Review Act. DEC has determined that the Notice of Proposed Rule Making is an unlisted action pursuant to Article 8 of the ECL, and a Short Environmental Assessment Form and a negative declaration have been prepared and are on file. A Coastal Assessment Form is also on file.

Regulatory Impact Statement

1. Statutory authority:

Environmental Conservation Law (ECL) § 13-0105 directs that it shall be “the policy of the state that the primary principle in managing the state’s marine fishery resource is to maintain the long-term health and abundance of marine fisheries resources and their habitats, and to ensure that [fisheries] are sustained in usable abundance and diversity for future generations.” The legislature further directed that “the management of the state’s transboundary and migratory species shall be consistent with [all] interjurisdictional management plans, interstate or state-federal.”

ECL § 13-0340-d authorizes DEC to adopt regulations governing tautog including: size limits, catch limits and possession limits, open and closed seasons, and/or other relevant management measures.

2. Legislative objectives:

It is the objective of the above-cited legislation that DEC manages marine fisheries to optimize resource use for commercial harvesters in a manner that is consistent with federal marine fisheries conservation and management policies including all applicable interstate fishery management plans. These amendments will ensure that New York maintains compliance and consistency with requirements of the Atlantic States Marine Fisheries Commission’s (ASMFC) Fishery Management Plan (FMP) for Tautog.

3. Needs and benefits:

This rule making must be adopted on an emergency basis for the preservation of the general welfare by ensuring that New York State maintains compliance with the requirements of ASMFC’s FMP for Tautog. Failure to maintain compliance with ASMFC’s FMP for Tautog may result in the federal closure of New York State’s tautog fishery. This emergency rule will also help prevent the illegal harvest and sale of tautog.

Tautog in New York State regional waters are overfished and experiencing overfishing based on the last stock assessment conducted by ASMFC in 2016. This amendment will require that all commercially harvested tautog are tagged with a single-use serialized tag. Any tautog without a commercial tag will not be able to be offered for sale, barter, or trade. These requirements will address overfishing by minimizing the coast-wide illegal and unreported catch of tautog which ASMFC has identified as a critical measure for reducing tautog overharvest.

4. Costs:

DEC intends to assume all costs associated with the implementation of the program for the first two years as part of a pilot program, including the costs of the tags themselves which must be purchased in bulk from ASMFC prior to each tagging year. DEC estimates the cost of tags to be approximately \$40,000 a year. DEC will also incur costs associated with mailing program materials to commercial harvesters, including an explanation of the tag ordering process. DEC will also disburse tag ap-

plicators during the initial tagging season at an estimated total cost of \$7,500.

DEC will operate the tagging program in pilot status for the first two years, after which DEC will evaluate the needs and benefits of sharing program costs with commercial license holders through the sale of tags. Tags are made from a proprietary blend of metals, and the cost each year will fluctuate based on commodity pricing. The cost of tags is not expected to negatively impact commercial harvesters as the cost of tags at 35 cents per tag represents less than two percent of the price commercial harvesters currently receive for live tautog in wholesale markets.

The tagging program is intended to minimize illegal and unreported catch of tautog which will help stabilize market prices. Stable market prices will benefit individuals in the tautog fishery by providing a consistent source of income.

5. Local government mandates:

The proposed rule does not impose any mandates on local governments.

6. Paperwork:

None.

7. Duplication:

The amendment does not duplicate any state or federal requirement.

8. Alternatives:

“No action” alternative – This option would leave in place current tautog regulations and would not implement a commercial tagging requirement. This option was rejected because failure to adopt the regulations to implement a commercial tautog tagging program will place New York State out of compliance with ASMFC’s FMP for Tautog which may result in the federal closure of New York State’s tautog fishery.

9. Federal standards:

The amendments are in compliance with federal standards.

10. Compliance schedule:

These regulations are being adopted by emergency rule making and therefore will take effect immediately upon filing with Department of State. Regulated parties will be notified of the changes to the regulations through publication in the State Register, appropriate news releases, and through DEC’s website.

Regulatory Flexibility Analysis

1. Effect of rule:

This rule making will implement a commercial tautog tagging program as required by ASMFC’s FMP for Tautog. The amendment will require all tautog commercially caught in New York State to be tagged with a single use tag that must be obtained from DEC. Any tautog without a commercial tag will not be able to be offered for sale, barter, or trade in New York State.

In 2018, there were 949 Food Fish license holders, and 494 Food Fish and Crustacea Shipper/Dealers license holders in New York State that may be impacted by the rule. Data available from 2018 New York State Vessel Trip Reports shows that there were 2,722 commercial fishing trips that caught and kept tautog, but these statistics do not include federally permitted commercial vessels operating out of New York State.

2. Compliance requirements:

The amendment requires commercial harvesters to purchase tags for every tautog they harvest and maintain accurate records of the tags used. Failure to maintain and report accurate records may result in new tag orders being delayed. In addition, Food Fish and Crustacea Shipper/Dealer license holders will have to retain the tagged carcasses of any fish parts being sold and will be required to leave the commercial tag attached to any live market fish.

3. Professional services:

None.

4. Compliance costs:

DEC intends to assume all costs associated with the implementation of the program for the first two years as part of a pilot program, including the costs of the tags themselves which must be purchased in bulk from ASMFC prior to each tagging year. DEC estimates the cost of tags to be approximately \$40,000 a year. DEC will also incur costs associated with mailing program materials to commercial harvesters, including an explanation of the tag ordering process. DEC will also disburse tag applicators during the initial tagging season at an estimated total cost of \$7,500.

DEC will operate the tagging program in pilot status for the first two years, after which DEC will evaluate the needs and benefits of sharing program costs with commercial license holders through the sale of tags. Tags are made from a proprietary blend of metals, and the cost each year will fluctuate based on commodity pricing. The cost of tags is not expected to negatively impact commercial harvesters as the cost of tags at 35 cents per tag represents less than two percent of the price commercial harvesters currently receive for live tautog in wholesale markets.

The tagging program is intended to minimize illegal and unreported catch of tautog which will help stabilize market prices. Stable market prices will benefit individuals in the tautog fishery by providing a consistent source of income. There are no anticipated costs to local governments.

5. Economic and technological feasibility:

DEC does not anticipate that small businesses will experience any hardship associated with the technological feasibility of using a tag applicator to apply tags to live tautog. The tags are available at no charge to commercial harvesters during the pilot program.

There are no associated economic or technological hardships identified for local governments.

6. Minimizing adverse impact:

This rule making is the minimum necessary to remain in compliance with ASMFC's FMP for Tautog. It is critical to remain in compliance with ASMFC's FMP for tautog to avoid the federal closure of New York State's tautog fishery.

This rule was designed to ensure the continued long-term sustainability of New York State's tautog fishery. Sustainable fisheries have a positive effect on employment for both licensed commercial harvesters and related industries, including shippers and dealers. Failure to implement this measure to protect New York State's natural resources may result in the collapse of tautog stock which would have a severe and adverse impact on both the commercial and recreational fisheries for tautog as well as supporting industries that benefit economically from the tautog fishery.

7. Small business and local government participation:

New York State commercial harvesters had an opportunity to comment on Amendment 1 to ASMFC's FMP for Tautog, which included the measures adopted in this rule making, during the public comment period from May 15, 2017 through July 14, 2017. DEC collected additional comments at the Marine Resource Advisory Council's (MRAC) May 16, 2017 meeting. Additionally, ASMFC held a public hearing for the draft amendment in New York State at DEC's Division of Marine Resources headquarters on June 20, 2017 where additional public comment was received.

Updates on the status of the amendment and the timeline for its implementation were provided at the November 8, 2017 and September 17, 2019 meeting of MRAC to keep the public and stakeholders informed. MRAC supported the tagging program as presented in this regulatory package at their November 19, 2019 meeting.

8. For rules that either establish or modify a violation or penalties associated with a violation:

Pursuant to the State Administrative Procedure Act (SAPA) § 202-b(1-a)(b), a cure period is not included in the rule because of the potential adverse impact on the resource. Cure periods for the illegal taking of fish or wildlife are neither desirable nor recommended. Immediate compliance is required to ensure that the general welfare of the public and the resource are both protected.

9. Initial review of the rule, pursuant to SAPA § 207 as amended by L. 2012, ch. 462:

DEC will conduct an initial review of the rule within three years as required by SAPA § 207(1)(b).

Rural Area Flexibility Analysis

DEC has determined that this rule will not impose any adverse impacts on rural areas. This rule making only affects the Marine and Coastal District of the State; there are no rural areas within the Marine and Coastal District. The tautog fishery is entirely located within the Marine and Coastal District and is not located adjacent to any rural areas of the State. The proposed rule will not impose any reporting, record keeping, or other compliance requirements on public or private entities in rural areas. Since no rural areas will be affected by the proposed amendments, DEC has determined that a Rural Area Flexibility Analysis is not required.

Job Impact Statement

1. Nature of impact:

This rule making will implement a commercial tautog tagging program as required by ASMFC's FMP for Tautog. The amendment will adopt the following provisions: all tautog commercially caught in New York State will be required to be tagged with a single use tag that must be obtained from DEC. Any tautog without a commercial tag will not be able to be offered for sale, barter, or trade in New York State. DEC does not expect the new tagging requirement to have an adverse impact on jobs or employment opportunities. The tagging program is intended to minimize illegal and unreported catch of tautog which will ultimately help stabilize market prices. Stable market prices will benefit individuals in the tautog fishery by providing a consistent source of income.

2. Categories and numbers affected:

In 2019, there were 910 Commercial Food Fish license holders, and 487 Food Fish and Crustacea Shipper/Dealer license holders. Data available from 2016 New York State Vessel Trip Reports and Dealer Reports show that there were 2,927 commercial fishing trips that caught and kept tautog in 2018, with an estimated value of \$695,264. These statistics do not include federally permitted commercial vessels operating out of New York State.

3. Regions of adverse impact:

The tautog fishery is located entirely within the Marine and Coastal District of New York State.

4. Minimizing adverse impact:

DEC does not anticipate the new tagging requirement to have an adverse impact on jobs or employment opportunities.

5. Self-employment opportunities:

Commercial harvesters and dealers are, for the most part, small businesses, owned and often operated by a single owner. The commercial fishing industry is mostly self-employed. Ultimately, the tagging program will help minimize the illegal and unreported catch of tautog which will provide benefits to commercial harvesters including stabilization of market prices and the long-term preservation of the resource.

6. Initial review of the rule, pursuant to SAPA § 207 as amended by L. 2012, ch. 462:

DEC will conduct an initial review of the rule within three years as required by SAPA § 207(b).

Department of Financial Services

EMERGENCY/PROPOSED**RULE MAKING****NO HEARING(S) SCHEDULED****Reverse Mortgage Loans**

I.D. No. DFS-12-20-00002-EP

Filing No. 190

Filing Date: 2020-03-05

Effective Date: 2020-03-05

PURSUANT TO THE PROVISIONS OF THE State Administrative Procedure Act, NOTICE is hereby given of the following action:

Proposed Action: Repeal of Part 79; addition of new Part 79 to Title 3 NYCRR.

Statutory authority: Banking Law, sections 6-h, 14; Real Property Law, sections 280, 280-a, 280-b; Financial Services Law, sections 202 and 302

Finding of necessity for emergency rule: Preservation of general welfare.

Specific reasons underlying the finding of necessity: Chapter 581 of the Laws of 2019 amended the Real Property Law by adding a new section 280-b. As of March 5, 2020, Real Property Law Section 280-b will regulate reverse mortgages issued under the federal home equity conversion mortgages program. The existing version of Part 79 must be repealed and replaced with a new comprehensive regulation that covers both loans done pursuant to Real Property Law Sections 280 and 280-a and future loans subject to Real Property Law Section 280-b. The new regulation should be effective no later than March 5, 2020 when the new statute takes effect.

Accordingly, it is imperative that the new version of Part 79 of the General Regulations of the Superintendent be promulgated on an emergency basis for the public's general welfare.

Subject: Reverse Mortgage Loans.

Purpose: To implement newly enacted Real Property Law section 280-b as soon as it goes into effect.

Substance of emergency/proposed rule (Full text is posted at the following State website: https://www.dfs.ny.gov/industry_guidance/regulations): Section 79.1 provides the scope of the regulation.

Section 79.2 contains definitions of terms that are used in Part 79.

Section 79.3 provides that only licensed or exempt entities may make reverse mortgage loans and describes the financial responsibility requirements that must be met by licensees and information that must be provided by exempt organization before the department will grant them authority to do reverse mortgage loans.

Section 79.4 sets forth new requirements and restrictions concerning the advertising of reverse mortgage loans.

Section 79.5 sets forth various requirements and limitations on lenders. This sub-section covers loan-to-value ratio limitations and financial fitness assessments of applicants and related "set aside account" provisions for certain loans. It also grants consumers a right to cancel for three (3) business days after the issuance of a commitment.

Section 79.6 sets forth a mortgagor's obligations to maintain the structural integrity of the real property securing the reverse mortgage loan and the creditor's remedies if the mortgagor fails to maintain the property.

Section 79.7 specifies the events that permit the mortgagee to terminate the mortgage, notice and disclosure requirements required to terminate the mortgage, and the homeowner's rights to cure any events of default.

Section 79.8 outlines the fees, costs and payments that lenders and

brokers may charge applicants or borrowers at or before closing and upon termination of the mortgage.

Section 79.9 specifies enhanced disclosures that must be provided to applicants. It also sets forth counselling requirements for prospective borrowers.

Section 79.10 sets forth the circumstances when a lender would be exempt from the requirement of making as many Real Property Law section 280-a loans as Real Property Law section 280 loans.

Section 79.11 sets forth a list of prohibited conduct that could subject lenders and brokers to administrative penalties if violated.

Section 79.12 sets forth provisions concerning the payment of real estate taxes and insurance for a mortgaged property and the respective rights and obligations of mortgagors and mortgagees.

Section 79.13 obligates the directors, trustees, and officers of lending institutions to adopt proper policies and procedures to implement the requirements of this regulation.

This notice is intended: to serve as both a notice of emergency adoption and a notice of proposed rule making. The emergency rule will expire June 2, 2020.

Text of rule and any required statements and analyses may be obtained from: Elizabeth Butler, Department of Financial Services, One State Street, New York, NY 10004-1417, (212) 709-3598, email: Elizabeth.Butler@dfs.ny.gov

Data, views or arguments may be submitted to: Same as above.

Public comment will be received until: 60 days after publication of this notice.

Regulatory Impact Statement

1. Statutory Authority: Sections 280, 280-a and 280-b of the Real Property Law ("RPL") provide for the regulation of reverse mortgage loans.

2. Legislative Objectives: By enacting Sections 280 and 280-a, the Legislature created a reverse mortgage product in the State of New York to ensure that seniors could stay in their homes and utilize their equity to safeguard their financial stability. In doing so, the legislature recognized the potential for consumer abuses and entrusted the Superintendent with the authority to write regulations governing the origination and servicing of reverse mortgage loans in New York. The Department responded by promulgating the existing version of Part 79.

Now, by enacting a new RPL Section 280-b, the Legislature has determined that additional consumer protections are also needed for federal home equity conversion ("HECM") loans insured by the federal Department of Housing and Urban Development ("HUD"). Section 280-b (2) prohibits unfair or deceptive practices in the connection with the marketing of reverse mortgage loans. Section 280-b (3) provides that lenders must provide supplemental consumer protection materials to consumers in a form or manner specified by the Superintendent. Section 280-b (4)(b) provides for special notices and warnings concerning set aside accounts.

Accordingly, the new version of Part 79 increases and clarifies disclosure requirements, requires counseling as a prerequisite to origination of a reverse mortgage, creates new advertising standards and incorporates a new financial fitness test as part of the underwriting process to evaluate the need for a set aside account.

The following is a summary of the major changes from the previous regulation:

(a) Enhanced Disclosures. The proposed regulation lays out specific notice language to be given to applicants warning of the potential risks of a reverse mortgage loan and the benefits of speaking with a housing counselor. Additional notice requirements would also include, among other things, a list of termination and acceleration events, information on the applicant's 3-day cooling off and recession period, a listing of all fees and costs associated with the reverse mortgage, and a schedule of estimated payments.

(b) Housing Counselor Checklist and Counselling Requirement. Housing counselling will become mandatory for applicants considering loans under RPL 280 or 280-a. For applicants considering HECM loans, this new requirement is consistent with HUD regulations governing counselling. The new provisions also require the delivery of a housing counselor checklist to all reverse mortgage applicants. Such checklist lays out the items to be discussed with a housing counselor prior to moving forward with the reverse mortgage. The checklist will ensure that applicants are fully informed of the potential risks and benefits of a reverse mortgage.

(c) Creation of Advertising Restrictions. The current Part 79 does not include any restrictions or requirements for the advertising of reverse mortgage loans to potential consumers. The new version creates such restrictions and requirements. Specifically, certain disclosures are required if an advertisement references any material loan terms. Moreover, false or misleading statements in an advertisement are explicitly prohibited and samples of all advertisements are to be maintained for a period of three

years from the date of last publication. Further, the new regulation no longer excludes reverse mortgage loans from the requirements of Part 38 of the General Regulations of the Superintendent. The advertising and disclosure requirements of Part 38 will also become applicable to supplement the new requirements of Part 79.

(d) Financial Assessment Form/Set Aside Account. The proposed amendments remove the unconditional requirement for a set-aside account for the payment of property taxes and insurance and instead replace it with a requirement for a financial fitness assessment of each applicant to determine their need for a set-aside. Borrowers who do reverse mortgage loans pursuant to RPL 280 or 280-a will be evaluated based upon the new test in Part 79.5 (l) (4). Borrowers who do HECM loans will be evaluated under a substantially similar test required by HUD regulations. This new financial fitness test in Part 79 is intended to be substantially similar to the HUD test.

(e) Special Authorization by the Department to do Reverse Mortgage Loans. The new Part 79.3(a) provides that only licensed or exempt entities may make reverse mortgage loans. Section 79.3 9 (c) (1) sets forth an application procedure and the financial responsibility requirements that must be met by a licensee. Section 79.3 (c) (2) sets forth the application provision for exempt organizations and the information they must provide before the department will grant them authority to do reverse mortgage loans. Section 79.3 (d) provides for filing deadlines.

3. Needs and Benefits: Based on industry and consumer concerns, the Department has identified the need to increase consumer protections for seniors taking out a reverse mortgage loan. The new version of Part 79 increases and clarifies disclosure requirements, requires counseling as a prerequisite to origination of a reverse mortgage, creates advertising standards and incorporates a financial fitness test as part of the underwriting process. These changes are consistent with the goals of RPL sections 280, 280-a and 280-b. The new regulation should provide a systematic and consistent way to regulate both HECM and non-HECM reverse mortgage loans for the benefit of senior citizens.

4. Costs: Although reverse mortgage lenders may incur some additional costs as a result of this regulatory change, the vast majority of reverse mortgage lenders are large businesses with the experience, resources and systems to comply with these requirements. Any additional costs created by new notices and disclosures will not be significant.

These proposed amendments will not result in any negative fiscal implications to the State.

5. Local Government Mandates: The proposed amendments do not impose any new programs, services, duties, or responsibilities upon any county, city, town, village, school district, fire district or other special district.

6. Paperwork: Additional disclosures and notice requirements will slightly increase the paperwork burden on the industry. The burden of this increase is outweighed by the consumer benefits expected to be received by potential customers and borrowers.

7. Duplication: The proposed amendments do not duplicate, overlap, or conflict with any other regulations.

8. Alternatives: The Department could choose not to amend the current regulation, however, without the proposed amendments the current regulation is impractical and insufficient.

9. Federal Standards: Section 255 of the National Housing Act governs HECM loans administered and insured by HUD. Public Law 73-479, 48 Stat. 1246. The enabling legislation is codified at 12 USC section 1715z-20. HUD has issued regulations to implement the HECM program. 24 C.F.R. Part 206.

The existing version of Part 79 did not regulate HECM loans. Such loans were excluded from the scope of our regulations. Newly enacted RPL 280-b changes that. In preparing the new Part 79, the Department tried to devise standards that are consistent with the HUD regulation wherever possible. For example, our new financial fitness requirements were derived from HUD standards in 24 C.F.R. 206.205. The Department also used the HUD definition of "Eligible Survivor Non-Mortgagor Spouse" and HUD's eligibility criteria for the protection of these non-borrowing spouses.

To the extent the Department deviated from HUD standards in minor respects, it did so to provide incrementally greater consumer protections.

10. Compliance Schedule: As an emergency adoption, the new version of Part 79 will be effective upon filing with the Secretary of State. The Department will consider revisions of the regulation based upon comments it receives during a public comment period. Such revisions might include a transition period for compliance.

Regulatory Flexibility Analysis

1. Effect of Rule: The new version of Part 79 removes a pre-existing regulatory exclusion for federal home equity conversion ("HECM") loans insured by the federal Department of Housing and Urban Development ("HUD"), as compared to New York State proprietary reverse mortgage loans originated in accordance with New York's Real Property Law Sec-

tion 280 or 280-a. The newly enacted Section 280-b of the Real Property Law requires state regulation of HECM loans. Therefore, Part 79 must also be made applicable to HECM loans. In addition, the new version of Part 79 increases and clarifies disclosure requirements, requires counseling as a prerequisite to origination of a reverse mortgage, creates advertising standards and incorporates a financial fitness test as part of the underwriting process.

The proposed regulation will not have any impact whatsoever on local governments. No local government makes reverse mortgage loans.

To the extent any lender is a small business, they are operating in a highly regulated environment and should be adequately prepared to comply with the proposed rule. HECM loans have always been subject to HUD regulations, and the new version of Part 79 has provisions that are comparable to HUD requirements. Loans made pursuant to Real Property Law sections 280 and 280-a were already governed by the prior version of the regulation.

2. Compliance Requirements: The new regulation does not impose any new or heightened requirements on small businesses than the regulation currently in place.

3. Professional Services: It is not anticipated that any additional professional services will be required by small businesses to comply with the requirements of this regulation.

4. Compliance Costs: Although reverse mortgage lenders may incur some additional costs as a result of this regulatory change, the vast majority of reverse mortgage lenders are large businesses with the experience, resources and systems to comply with these requirements.

5. Economic and Technological Feasibility: The rulemaking should impose no adverse economic or technological burden on small businesses.

6. Minimizing Adverse Impact: The proposed amendments should not impose significant adverse impacts on small businesses.

7. Small Business and Local Government Participation: The Department has received and responded to numerous industry and consumer inquiries regarding reverse mortgage loans over the years and has tailored its new regulation to address the concerns of the residential lending industry without compromising any consumer protections.

Rural Area Flexibility Analysis

1. Types and Estimated Numbers of Rural Areas: The overwhelming majority of these businesses are banks, credit unions, mortgage banks and exempt institutions that are already regulated under various federal and state laws. Lenders that make reverse mortgage loans are already familiar with applicable regulations issued by the federal Department of Housing and Urban Development ("HUD") to do federal home equity conversion ("HECM") loans. Lenders who originate loans in accordance with Real Property Law sections 280 and 280-a are already familiar with similar requirements under the existing version of Part 79. These firms already have the experience, resources and systems to comply with these requirements. Lenders located in rural areas should not be affected differently from other lenders.

2. Reporting, Recordkeeping and Other Compliance Requirements; and Professional Services: Compliance with the new Part 79 will apply uniformly for all lenders. It is not anticipated that lenders located in rural areas will need additional professional services other than those used in the normal course of their business to comply with existing regulations.

3. Costs: The requirements of Part 79 do not impose any direct costs on lenders. Although lenders may incur some additional costs as a result of complying with Part 79, the vast majority of these businesses are banks, credit unions, mortgage banks and exempt institutions that already have the experience, resources and systems to comply with these requirements. The requirements of Part 79 will apply uniformly across all lenders and it is not anticipated that lenders located in rural areas will have any different costs to those located in urban or suburban areas.

4. Minimizing Adverse Impact: The requirements of Part 79 will apply uniformly across all geographic regions. The Department has determined that uniform regulatory requirements are appropriate.

5. Rural Area Participation: The Department has received and responded to numerous industry and consumer inquiries regarding reverse mortgage loans over the years and has tailored the new version of Part 79 to address the concerns of the residential lending industry without compromising any consumer protections.

Job Impact Statement

This rule making should not adversely impact job or employment opportunities in New York. The overwhelming majority of these businesses are banks, credit unions, mortgage banks and exempt institutions that are already regulated under various federal and state laws. Lenders that make reverse mortgage loans are already familiar with applicable regulations issued by the federal Department of Housing and Urban Development ("HUD") to do federal home equity conversion ("HECM") loans. Lenders who originate loans in accordance with Real Property Law sections 280 and 280-a are already familiar with similar requirements under the exist-

ing version of Part 79. These firms already have the experience, resources and systems to comply with these requirements.

Compliance with the new version of Part 79 is not expected to have any significant adverse effects on jobs or employment activities within the banking industry.

NOTICE OF ADOPTION

Rules Governing the Procedures for Adjudicatory Proceedings Before the Department of Financial Services

I.D. No. DFS-53-19-00013-A

Filing No. 198

Filing Date: 2020-03-09

Effective Date: 2020-03-25

PURSUANT TO THE PROVISIONS OF THE State Administrative Procedure Act, NOTICE is hereby given of the following action:

Action taken: Repeal of Supervisory Procedure G 111 of Title 3 NYCRR; repeal of Part 4 of Title 11 NYCRR; and addition of Part 2 to Title 23 NYCRR.

Statutory authority: Financial Services Law, sections 202, 302; State Administrative Procedure Act, art. 3

Subject: Rules Governing the Procedures for Adjudicatory Proceedings Before the Department of Financial Services.

Purpose: To unify and clarify the procedures for adjudicatory proceedings before the Department of Financial Services.

Text or summary was published in the December 31, 2019 issue of the Register, I.D. No. DFS-53-19-00013-EP.

Final rule as compared with last published rule: No changes.

Text of rule and any required statements and analyses may be obtained from: Sally Geisel, New York State Department of Financial Services, One State Street, New York, NY 10004, (212) 480-7608, email: Sally.Geisel@dfs.ny.gov

Initial Review of Rule

As a rule that requires a RFA, RAFA or JIS, this rule will be initially reviewed in the calendar year 2023, which is no later than the 3rd year after the year in which this rule is being adopted.

Assessment of Public Comment

The agency received no public comment.

NOTICE OF ADOPTION

Supplementary Uninsured/Underinsured Motorist Coverage

I.D. No. DFS-53-19-00015-A

Filing No. 197

Filing Date: 2020-03-09

Effective Date: 2020-03-25

PURSUANT TO THE PROVISIONS OF THE State Administrative Procedure Act, NOTICE is hereby given of the following action:

Action taken: Amendment of Subpart 60-2 (Regulation 35-D) of Title 11 NYCRR.

Statutory authority: Financial Services Law, sections 202, 302; Insurance Law, sections 301, 3420(f); L. 2019, ch. 59, part III

Subject: Supplementary Uninsured/Underinsured Motorist Coverage.

Purpose: To comport with statutory amendments to chapter 59, part III of the Laws of 2019 and Insurance Law section 3420(f).

Text or summary was published in the December 31, 2019 issue of the Register, I.D. No. DFS-53-19-00015-EP.

Final rule as compared with last published rule: No changes.

Text of rule and any required statements and analyses may be obtained from: Joana Lucashuk, Department of Financial Services, One State Street, New York, NY 10004, (212) 480-2125, email: Joana.Lucashuk@dfs.ny.gov

Initial Review of Rule

As a rule that requires a RFA, RAFA or JIS, this rule will be initially reviewed in the calendar year 2023, which is no later than the 3rd year after the year in which this rule is being adopted.

Assessment of Public Comment

The agency received no public comment.

Department of Health

EMERGENCY RULE MAKING

Investigation of Communicable Disease; Isolation and Quarantine

I.D. No. HLT-12-20-00004-E

Filing No. 199

Filing Date: 2020-03-09

Effective Date: 2020-03-09

PURSUANT TO THE PROVISIONS OF THE State Administrative Procedure Act, NOTICE is hereby given of the following action:

Action taken: Amendment of Part 2, section 405.3; and addition of section 58-1.14 to Title 10 NYCRR.

Statutory authority: Public Health Law, sections 225, 576 and 2803

Finding of necessity for emergency rule: Preservation of public health.

Specific reasons underlying the finding of necessity: Where compliance with routine administrative procedures would be contrary to public interest, the State Administrative Procedure Act (SAPA) § 202(6) empowers state agencies to adopt emergency regulations necessary for the preservation of public health, safety, or general welfare. In this case, compliance with SAPA for filing of this regulation on a non-emergency basis, including the requirement for a period of time for public comment, cannot be met because to do so would be detrimental to the health and safety of the general public.

The 2019 Coronavirus (COVID-19) is a disease that has caused mild to severe respiratory symptoms, including fever, cough, and difficulty breathing. People infected with COVID-19 have had symptoms ranging from those that are mild (like a common cold) to severe pneumonia that requires medical care in a hospital and can be fatal.

COVID-19 was found to be the cause of an outbreak of illness in Wuhan, Hubei Province, China in December 2019. A short time later, on January 30, 2020, the World Health Organization (WHO) designated the COVID-19 outbreak as a Public Health Emergency of International Concern. On January 31, 2020, the Secretary of Health and Human Services determined that as a result of confirmed cases of COVID-19 in the United States, a public health emergency exists and has existed since January 27, 2020, nationwide.

The situation continues to rapidly evolve throughout the world and the United States. In particular, the United States has quickly progressed from identifying travel-associated cases and person-to-person transmission of COVID-19 among close contacts of travel-associated cases, to the identification of community spread of the disease in certain parts of California, Oregon, and Washington states.

Additionally, as of March 1, 2020 New York State has reported cases of COVID-19. Given the spread so far, the Centers for Disease Control and Prevention (CDC) expects that it is likely widespread transmission of COVID-19 will occur in the United States.

Given the emergent nature of the COVID-19 outbreak, these emergency regulations are necessary to clarify and strengthen the Department's authority and that of the local health departments to take specific actions to control the spread of disease, including actions related to investigation and response to a disease outbreak, as well as the issuance of isolation and quarantine orders.

Subject: Investigation of Communicable Disease; Isolation and Quarantine.

Purpose: Control of communicable disease.

Substance of emergency rule (Full text is posted at the following State website: <https://regs.health.ny.gov/regulations/emergency>): These regulations clarify the authority and duty of the New York State Department of Health ("Department") and local health departments to protect the public in the event of an outbreak of communicable disease, through appropriate public health orders issued to persons diagnosed with or exposed to a communicable disease. These regulations also require hospitals to report syndromic surveillance data to the Department upon direction from the Commissioner and clarify reporting requirements for clinical laboratories with respect to communicable diseases.

This notice is intended to serve only as a notice of emergency adoption. This agency intends to adopt this emergency rule as a permanent rule and will publish a notice of proposed rule making in the *State Register* at some future date. The emergency rule will expire June 6, 2020.

Text of rule and any required statements and analyses may be obtained from: Katherine Ceroalo, DOH, Bureau of Program Counsel, Reg. Affairs Unit, Room 2438, ESP Tower Building, Albany, NY 12237, (518) 473-7488, email: regsqa@health.ny.gov

Regulatory Impact Statement

Statutory Authority:

The statutory authority for the regulatory amendments to Part 2 of Title 10 of the Official Compilation of Codes, Rules and Regulations of the State of New York is Section 225 of the Public Health Law (PHL), which authorizes the Public Health and Health Planning Council (PHHPC), subject to the approval of the Commissioner of Health (Commissioner), to establish and amend the State Sanitary Code (SSC) provisions related to any matters affecting the security of life or health or the preservation and improvement of public health in the State of New York. Additionally, Section 2103 of the PHL requires all local health officers to report cases of communicable disease to the New York State Department of Health (Department).

The statutory authority for the proposed new section 58-1.14 of Title 10 of the Official Compilation of Codes, Rules and Regulations of the State of New York is section 576 of the PHL, which authorizes the Department to adopt regulations prescribing the requirements for the proper operation of a clinical laboratory, including the methods and the manner in which testing or analyses of samples shall be performed and reports submitted.

The statutory authority for the proposed amendments to section 405.3 of Title 10 of the Official Compilation of Codes, Rules and Regulations of the State of New York is section 2803 of the PHL, which authorizes PHHPC to adopt and amend rules and regulations, subject to the approval of the Commissioner, to implement the purposes and provisions of PHL Article 28, and to establish minimum standards governing the operation of health care facilities.

Legislative Objectives:

The legislative objective of PHL § 225 is, in part, to protect the public health by authorizing PHHPC, with the approval of the Commissioner, to amend the SSC to address public health issues related to communicable disease.

The legislative objective of PHL § 576 is, in part, to promote public health by establishing minimum standards for clinical laboratory testing and reporting of test results, including to the Department for purposes of taking prompt action to address outbreaks of disease.

The legislative objective of PHL § 2803 includes among other objectives authorizing PHHPC, with the approval of the Commissioner, to adopt regulations concerning the operation of facilities licensed pursuant to Article 28 of the PHL, including general hospitals.

Needs and Benefits:

The 2019 Coronavirus (COVID-19) is a disease that has caused mild to severe respiratory symptoms, including fever, cough, and difficulty breathing. People infected with COVID-19 have had symptoms ranging from those that are mild (like a common cold) to severe pneumonia that requires medical care in a hospital and can be fatal.

COVID-19 was found to be the cause of an outbreak of illness in Wuhan, Hubei Province, China in December 2019. A short time later, on January 30, 2020, the World Health Organization (WHO) designated the COVID-19 outbreak as a Public Health Emergency of International Concern. On January 31, 2020, the Secretary of Health and Human Services determined that as a result of confirmed cases of COVID-19 in the United States, a public health emergency exists and has existed since January 27, 2020, nationwide.

The situation continues to rapidly evolve throughout the world and the United States. In particular, the United States has quickly progressed from identifying travel-associated cases and person-to-person transmission of COVID-19 among close contacts of travel-associated cases, to the identification of community spread of the disease in certain parts of California, Oregon, and Washington states.

As of March 1, 2020, New York State has reported cases of COVID-19. Given the rate spread to date, the Centers for Disease Control and Prevention (CDC) expects that it is likely widespread transmission of COVID-19 will occur in the United States.

In light of this situation, these regulations update, clarify and strengthen the Department's authority as well as that of local health departments to take specific actions to control the spread of disease, including actions related to investigation and response to a disease outbreak, as well as the issuance of isolation and quarantine orders.

The following is a summary of the amendments to the Department's regulations:

Part 2 Amendments:

- Relocate and update definitions, and add new definitions.
- Repeal and replace current section 2.6, related to investigations, to make existing clarify local health department authority.
- Sets forth specific actions that local health departments must take to investigate a case, suspect case, outbreak, or unusual disease.

- Requires individuals and entities subject to a public health investigation to cooperate with the Department and local health departments.

- Clarifies authority for the Commissioner to lead investigation activities.

- Codifies in regulation the requirement that local health departments send reports the Department during an outbreak.

- New section 2.13 added to clarify isolation and quarantine procedures.

- Clarify that the State Department of Health has the authority to issue isolation and quarantine orders, as do local departments of health.

- Clarifies locations where isolation or quarantine may be appropriate.

- Sets forth requirements for the content of isolation and quarantine orders.

- Specifies other procedures that apply when a person is isolated or quarantined.

- Explicitly states that violation of an order constitutes grounds for civil and/or criminal penalties.

- Relocates and updates existing regulatory requirements that require the attending physician to report cases and suspected cases to the local health authority, and to requires physicians to provide instructions concerning how to protect others.

Part 58 Amendments

- New section 58-1.14 added clarifying reporting requirements for certain communicable diseases.

- Requires the Commissioner to designate those communicable disease that require prompt action, and to make available a list of such disease on the State Department of Health website.

- Requires clinical laboratories to immediately report positive test results for communicable diseases identified as requiring prompt attention, in a manner and format identified by the Commissioner.

- Requires clinical laboratories to report all test result, including negative and indeterminate results, for communicable diseases identified as requiring prompt attention, via the Electronic Clinical Laboratory Reporting System (ECLRS).

Part 405 Amendments

- Mandates hospitals to report syndromic surveillance data during an outbreak of a highly contagious communicable disease.

- Permits the Commissioner to direct hospitals to take patients during an outbreak of a highly contagious communicable disease, which is consistent with the federal Emergency Medical Treatment and Labor Act (EMTALA).

Costs:

Costs to Regulated Parties:

The requirement that hospital submit syndromic surveillance reports when request during an outbreak is not expected to result in any substantial costs. Hospitals are already regularly and voluntarily submitting data to the Department, and nearly all of them submit such reports electronically. With regard to the Commissioner directing general hospitals to accept patients during an outbreak of a highly contagious communicable disease, hospitals are already required to adhere to the federal Emergency Medical Treatment and Labor Act (EMTALA). Accordingly, both of these proposed amendments will not impose any substantial additional cost to hospitals.

Clinical laboratories must already report communicable disease testing results using the ECLRS and must also immediately report communicable diseases pursuant to PHL § 2102. The regulation simply clarifies existing requirements and is not anticipated to impose any substantial additional costs beyond those costs that laboratories would incur in the absence of these regulations.

Although there are costs associated with disease investigation and response for any outbreak, these regulations clarify and strengthen the existing authorities and responsibilities of local governments. As such, these regulations do not impose any substantial additional costs beyond what local health departments would incur in the absence of these regulations.

Costs to Local and State Governments:

Although there are costs associated with disease investigation and response for any outbreak, these regulations clarify and strengthen the existing authorities and responsibilities of local governments. As such, these regulations do not impose any substantial additional costs beyond what local health departments would incur in the absence of these regulations. Further, making explicit the Department's authority to lead investigation activities will result in increased coordination of resources, likely resulting in a cost-savings for State and local governments.

Any clinical laboratories operated by a local government must already report communicable disease testing results using the ECLRS and must also immediately report communicable diseases pursuant to PHL § 2102. The regulation simply clarifies existing requirements and is not anticipated to impose any substantial additional costs beyond those costs that laboratories would incur in the absence of these regulations.

To the extent that the State Department of Health and local health departments issue isolation and quarantine orders in response to COVID-19, such actions will impose costs upon the state. As the scope of any

outbreak is difficult to predict, the cost to the State of issuing such orders cannot be predicted at this time.

Paperwork:

Some hospitals may be required to make additional syndromic surveillance reports that they are not already making. Otherwise, these regulations do not require any additional paperwork.

Local Government Mandates:

Under existing regulation, local health departments already have the authority and responsibility to take actions to control the spread of disease within their jurisdictions. The proposed amendments clarify these existing authorities and duties.

Duplication:

There is no duplication in existing State or federal law.

Alternatives:

The alternative would be to leave in place the current regulations on disease investigation and isolation and quarantine. However, many of these regulatory provisions have not been updated in fifty years and should be modernized to ensure appropriate response to a disease outbreak, such as COVID-19.

Federal Standards:

States and local governments have primary authority for controlling disease within their respective jurisdictions. Accordingly, there are no federal statutes or regulations that apply to disease control within NYS.

Compliance Schedule:

The regulations will become effective upon filing with the Department of State.

Regulatory Flexibility Analysis

Effect of Rule:

Under existing regulation, local health departments already have the authority and responsibility to take actions to control the spread of disease within their jurisdictions. The proposed amendments clarify these existing authorities and duties.

Compliance Requirements:

Under existing regulation, local health departments already have the authority and responsibility to take actions to control the spread of disease within their jurisdictions. The proposed amendments clarify these existing authorities and duties. With respect to mandating syndromic surveillance reporting during an outbreak of a highly infectious communicable disease, hospitals are already reporting syndromic surveillance data regularly and voluntarily.

With respect to clinical laboratories, they must already report communicable disease testing results using the ECLRS and must also immediately report communicable diseases pursuant to PHL § 2102. The regulation simply clarifies existing requirements and is not anticipated to impose any substantial additional costs beyond those costs that laboratories would incur in the absence of these regulations.

Professional Services:

It is not expected that any professional services will be needed to comply with this rule.

Compliance Costs:

Although there are costs associated with disease investigation and response for any outbreak, these regulations clarify and strengthen the existing authorities and responsibilities of local governments. As such, these regulations do not impose any substantial additional costs beyond what local health departments would incur in the absence of these regulations.

Further, making explicit the Department's authority to lead investigation activities will result in increased coordination of resources, likely resulting in a cost-savings for State and local governments.

Economic and Technological Feasibility:

There are no economic or technological impediments to the rule changes.

Minimizing Adverse Impact:

As the proposed regulations largely clarify existing responsibility and duties among regulated entities and individuals, any adverse impacts are expected to be minimal. The Department, however, will work with regulated entities to ensure they are aware of the new regulations and have the information necessary to comply.

Small Business and Local Government Participation:

Due to the emergent nature of COVID-19, small business and local governments were not consulted. If these regulations are proposed for permanent adoption, all parties will have an opportunity provided comments during the notice and comment period.

Rural Area Flexibility Analysis

Types and Estimated Numbers of Rural Areas:

While this rule applies uniformly throughout the state, including rural areas, for the purposes of this Rural Area Flexibility Analysis (RAFA), "rural area" means areas of the state defined by Exec. Law § 481(7) (SAPA § 102(10)). Per Exec. Law § 481(7), rural areas are defined as "counties within the state having less than two hundred thousand population, and the

municipalities, individuals, institutions, communities, and programs and such other entities or resources found therein. In counties of two hundred thousand or greater population 'rural areas' means towns with population densities of one hundred fifty persons or less per square mile, and the villages, individuals, institutions, communities, programs and such other entities or resources as are found therein."

The following 43 counties have a population of less than 200,000 based upon the United States Census estimated county populations for 2010:

Allegany County	Greene County	Schoharie County
Cattaraugus County	Hamilton County	Schuyler County
Cayuga County	Herkimer County	Seneca County
Chautauqua County	Jefferson County	St. Lawrence County
Chemung County	Lewis County	Steuben County
Chenango County	Livingston County	Sullivan County
Clinton County	Madison County	Tioga County
Columbia County	Montgomery County	Tompkins County
Cortland County	Ontario County	Ulster County
Delaware County	Orleans County	Warren County
Essex County	Oswego County	Washington County
Franklin County	Otsego County	Wayne County
Fulton County	Putnam County	Wyoming County
Genesee County	Rensselaer County	Yates County
	Schenectady County	

The following counties of have population of 200,000 or greater, and towns with population densities of 150 person or fewer per square mile, based upon the United States Census estimated county populations for 2010:

Albany County	Monroe County	Orange County
Broome County	Niagara County	Saratoga County
Dutchess County	Oneida County	Suffolk County
Erie County	Onondaga County	

Reporting, Recordkeeping and Other Compliance Requirements; and Professional Services:

As the proposed regulations largely clarify existing responsibilities and duties among regulated entities and individuals, no additional recordkeeping, compliance requirements, or professional services are expected. With respect to mandating syndromic surveillance reporting during an outbreak of a highly infectious communicable disease, hospitals are already reporting syndromic surveillance data regularly and voluntarily. Additionally, the requirement for local health departments to continually report to the Department during an outbreak is historically a practice that already occurs. With respect to clinical laboratories, they must already report communicable disease testing results using the ECLRS and must also immediately report communicable diseases pursuant to PHL § 2102.

Costs:

As the proposed regulations largely clarify existing responsibility and duties among regulated entities and individuals, no initial or annual capital costs of compliance are expected above and beyond the cost of compliance for the requirements currently in Parts 2, 58 and 405.

Economic and Technological Feasibility:

There are no economic or technological impediments to the rule changes.

Minimizing Adverse Impact:

As the proposed regulations largely clarify existing responsibility and duties among regulated entities and individuals, any adverse impacts are expected to be minimal. The Department, however, will work with local health departments to ensure they are aware of the new regulations and have the information necessary to comply.

Rural Area Participation:

Due to the emergent nature of COVID-19, parties representing rural areas were not consulted. If these regulations are proposed for permanent adoption, all parties will have an opportunity provided comments during the notice and comment period.

Job Impact Statement

The Department of Health has determined that this regulatory change will not have a substantial adverse impact on jobs and employment, based upon its nature and purpose.

NOTICE OF ADOPTION

Transitional Adult Home Admission Standards for Individuals with Serious Mental Illness

I.D. No. HLT-43-19-00005-A

Filing No. 204

Filing Date: 2020-03-10

Effective Date: 2020-03-25

PURSUANT TO THE PROVISIONS OF THE State Administrative Procedure Act, NOTICE is hereby given of the following action:

Action taken: Amendment of Parts 487 and 488 of Title 18 NYCRR.

Statutory authority: Social Services Law, sections 461 and 461-e

Subject: Transitional Adult Home Admission Standards for Individuals with Serious Mental Illness.

Purpose: Delineate a clear pre-admissions process for determining whether a prospective resident is a person with serious mental illness.

Text of final rule: Subdivision (c) of section 487.2 is amended to read as follows:

(c) Persons with serious mental illness means individuals who meet criteria established by the commissioner of mental health, which shall be persons who have a designated diagnosis of mental illness under the Diagnostic and Statistical Manual of Mental Disorders ([DSM-IV-TR] DSM-5, American Psychiatric Association, [July 2000] May 2013), published by American Psychiatric Association Publishing, 800 Maine Avenue SW, Suite 900, Washington, DC 20024), and whose severity and duration of mental illness results in substantial functional disability. *The DSM-5, referenced herein, is hereby incorporated by reference, with the same force and effect as if fully set forth herein, and may be examined at the Regulatory Affairs Unit, New York State Department of Health, Corning Tower, Empire State Plaza, Albany, NY 12237, or at the New York State Department of State, 99 Washington Avenue, Albany, NY 12231.*

Subdivisions (e)-(r) of section 487.4 are re-lettered (f)-(s), and a new subdivision (e) of section 487.4 is added to read as follows:

Reference to subdivision (j) is re-lettered to subdivision (k) in new subdivision (n).

Reference to subdivision (g) is re-lettered to subdivision (h) in new subdivision (o).

Reference to subdivision (h) is re-lettered to subdivision (i) in new subdivision (o).

(e) Prior to any prospective resident's admission to a transitional adult home, as defined in subdivision (b) of section 487.13 of this Part, the operator shall contact the Department, in a manner prescribed by the Department, to obtain a pre-admission screening as to whether the prospective resident may be a person with serious mental illness, as defined in subdivision (c) of section 487.2 of this Part.

(1) To obtain such pre-admission screening, the operator shall, in a manner prescribed by the Department, provide the Department with the prospective resident's full name, date of birth, guardianship information if applicable, and Medicaid identification number if applicable. For individuals who are not currently enrolled in Medicaid, the operator shall state whether an interview and/or medical evaluation indicate the need for a mental health evaluation pursuant to paragraph (3) of subdivision (g) of this section. The results of the Department's pre-admission screening shall be provided to the operator within three business days of receipt of a complete request. A complete request is one that contains all of the information required by this paragraph.

(2) The Department shall conduct its pre-admission screening in consultation with the Office of Mental Health by reviewing the prospective resident's Medicaid claims data for relevant Health and Recovery Plan eligibility criteria, which may indicate that the prospective resident is a person with serious mental illness.

(3) Possible pre-admission screening results:

(i) Where the Department's pre-admission screening of the prospective resident does not indicate that the prospective resident may be a person with serious mental illness or, in the case of a prospective resident for whom recent Medicaid claims data is not available, the operator has advised that an interview and/or medical evaluation do not indicate the need for a mental health evaluation pursuant to paragraph (3) of subdivision (g) of this section, the Department shall advise the operator that it may admit the prospective resident within 30 days of receipt of the results, provided that all other relevant admission criteria are met. In the event an operator does not admit the prospective resident within 30 days of receipt of the results of the Department's pre-admission screening, the operator must obtain a new pre-admission screening pursuant to this subdivision.

(ii) Where the Department's pre-admission screening indicates

that the prospective resident may be a person with serious mental illness or, in the case of a prospective resident for whom recent Medicaid claims data is not available, the operator has advised that an interview and/or medical evaluation indicate the need for a mental health evaluation pursuant to paragraph (3) of subdivision (g) of this section, the operator shall not admit the prospective resident without conducting or obtaining a mental health evaluation, documented on a form prescribed by the Department and developed in consultation with the Office of Mental Health, within 30 days prior to the date of admission, pursuant to paragraph (1) of subdivision (k) of this section. The operator may admit the prospective resident only when the mental health evaluation concludes the individual: (a) is not a person with serious mental illness; or (b) is a person with serious mental illness, but the individual is a former resident of a transitional adult home and the operator obtains a waiver approved by the Department pursuant to subdivision (g) of section 487.3 of this Part.

Subdivision (h) of section 487.4, re-lettered as subdivision (i), is amended to read as follows:

[(h)] (i) Each mental health evaluation shall be a written and signed report, from a psychiatrist, physician, registered nurse, certified psychologist or certified social worker who is approved by the Department [department] in consultation with the Office of Mental Health, and who has experience in the assessment and treatment of mental illness[, which includes]. Such report shall be documented on a form prescribed by the Department and developed in consultation with the Office of Mental Health and shall include:

(1) the date of examination;
(2) significant mental health history and current conditions, including whether the resident or prospective resident [has] is a person with [a] serious mental illness as defined in section 487.2(c) of this Part;

(3) a statement that the resident's or prospective resident's mental health needs can be adequately met in the facility and a statement that the resident does not evidence need for placement in a residential treatment facility licensed or operated pursuant to article 19, 23, 29 or 31 of the Mental Hygiene Law; and

(4) a statement that the person signing the report has conducted a face-to-face examination of the resident or prospective resident within 30 days [of] prior to the date of admission or, for required annual evaluations or evaluations conducted due a change in condition, within 30 days of the report.

Subparagraph (xix) of paragraph (6) of subdivision (d) of section 487.5 is amended to read as follows:

(xix) state that the resident agrees to provide the operator, prior to admission and at least every 12 months thereafter, a dated and signed medical evaluation which conforms to the requirements of section 487.4[(f)](h) of this Part;

A new paragraph (4) is added to subdivision (e) of section 487.10 to read as follows:

(4) For facilities with a certified capacity of 80 beds or more in which twenty percent or more of the resident population are persons with serious mental illness as defined in section 487.2(c) of this Part, a monthly admissions report identifying all persons admitted to the facility during the prior calendar month.

Paragraph (3) of subdivision (e) of section 488.4 is amended to read as follows:

(3) a mental health evaluation if a proposed resident has a known history of chronic mental disability, or the medical evaluation or resident interview suggests the existence of such a disability. Such evaluation must be a written and signed report from a psychiatrist, physician, registered nurse, certified psychologist or certified social worker who has experience in the assessment and treatment of mental illness[, which includes]. Such report shall be documented on a form prescribed by the Department and developed in consultation with the Office of Mental Health and shall include:

(i) a significant mental health history and current conditions;
(ii) a statement that the resident or prospective resident is mentally suited for care in the enriched housing program;

(iii) a statement that the resident or prospective resident does not evidence need for placement in a hospital or residential treatment facility; and

(iv) a dated statement indicating that the person signing the report has conducted a face-to-face examination of the resident or prospective resident which, for prospective residents, shall be dated within 30 days prior to admission.

Final rule as compared with last published rule: Nonsubstantive changes were made in section 487.2(c).

Text of rule and any required statements and analyses may be obtained from: Katherine Ceroalo, DOH, Bureau of Program Counsel, Reg. Affairs Unit, Room 2438, ESP Tower Building, Albany, NY 12237, (518) 473-7488, email: regsqna@health.ny.gov

Revised Regulatory Impact Statement, Regulatory Flexibility Analysis, Rural Area Flexibility Analysis and Job Impact Statement

Changes made to the last published rules do not necessitate revision to the previously published Regulatory Impact Statement, Regulatory Flexibility Analysis, Rural Area Flexibility Analysis and Job Impact Statement.

Initial Review of Rule

As a rule that does not require a Regulatory Flexibility Analysis, Rural Area Flexibility Analysis or Job Impact Statement, this rule will be initially reviewed in the calendar year 2025, which is no later than the 5th year after the year in which this rule is being adopted.

Assessment of Public Comment

The New York State Department of Health (Department) received comments from a transitional adult home operator, legal services providers, and an advocacy organization regarding the proposed amendments to sections 487.2, 487.4, 487.5, 487.10, and 488.4 of Title 18 of the New York Codes, Rules and Regulations, relating to admission standards for individuals with serious mental illness. These comments, and the Department's responses, are summarized below.

Comment: Some not-for-profit operators of transitional adult homes should be exempt from the census limits for individuals with serious mental illness when certain requirements are met; i.e., the operator operates a continuum of housing and residential services, including supportive housing and independent housing, and promotes independence and integration into the community.

Response: Facility-specific considerations are made on an ad hoc basis and upon request of the facility operator. Therefore, no changes were made to the regulation in response to this comment.

Comment: The proposed regulation affords the Department three (3) business days to conduct the requisite pre-admission screening and provide the transitional adult home operator with the results. Such screening must be expedited.

Response: The Department appreciates the need for operators to make admission decisions in a timely manner so as not to interrupt the service continuum and has been transparent in identifying best practices for operators. Balancing Department resources with these recognized operator needs, the Department finds that three business days is an appropriate amount of time for the Department to duly conduct the pre-admission screening and provide results to the operator with sufficient time to make an admission determination. As such, no changes were made to the regulation in response to this comment.

Comment: The Department's pre-admission screening should include a search to identify whether that prospective resident was a former resident of a transitional adult home.

Response: It is incumbent upon the operator to identify historical residency information via the pre-admission interview process. Accordingly, no changes were made to the regulation in response to this comment.

Comment: The proposed regulation requires that a mental health evaluation be documented on a form prescribed by the Department, but no such form is currently available. Further, the provider network must be included in any such form development.

Response: The Department will alert providers when a mental health evaluation form is available, and such form is currently under development in consultation with the New York State Office of Mental Health (OMH), the State agency charged with promoting the mental health of all New Yorkers, with a particular focus on adults with serious mental illness. As such, no changes were made to the regulation in response to this comment.

Comment: The Department must expand its pre-admission screening criteria to include an assessment of substantial functional disability resulting from the individual's serious mental illness. The narrow Health and Recovery Plan (HARP) eligibility criteria relies on Medicaid data and therefore misses the cohort of individuals covered by Medicare and other third-party insurance or those who receive services from private practitioners not licensed by OMH, and identifies only those individuals with the most serious needs, therefore allowing many individuals with serious mental illness to pass through the pre-admission screen.

Response: Prior to proposing these regulations, the Department duly considered its options regarding pre-screening criteria and, upon consultation with OMH, determined that the HARP criteria would provide an accurate initial assessment in a timely manner. Where Medicaid claims data is not available, the regulations provide that the operator must indicate to the Department that an interview and/or medical evaluation of the prospective resident do not indicate the need for a mental health evaluation. Therefore, no changes were made to the regulation in response to this comment.

Comment: The Department should collect and review medical evaluations and medication lists as part of the pre-admission screening process.

Response: Prior to proposing these regulations, the Department duly considered its options regarding pre-screening criteria and, upon consulta-

tion with OMH, determined that the HARP criteria would provide an accurate initial assessment in a timely manner. Where Medicaid claims data is not available, the regulations provide that the operator must indicate to the Department that an interview and/or medical evaluation of the prospective resident do not indicate the need for a mental health evaluation. All documentation used in the determination must be retained and made available to the Department upon request. Therefore, no changes were made to the regulation in response to this comment.

Comment: To avoid conflicts of interest, the mental health assessments should be performed by an assessor independent of the transitional adult home.

Response: This comment, regarding persons permitted to conduct the mental health evaluation, is outside the scope of these proposed regulations, which concerned the pre-admission screening process. Accordingly, no changes were made to the regulation in response to this comment.

Comment: Transitional adult homes should be required to notify the Department of the admission referral source to assist the Department in identifying discharge practices of licensed facilities and to allow cross-agency information sharing.

Response: Collection of referral source information and discharge procedures is outside the scope of these proposed regulations. As such, no changes were made to the regulation in response to this comment.

Comment: The Department should offer HARP enrollment to those individuals identified as HARP eligible.

Response: Insurance benefit eligibility is outside the scope of these proposed regulations. Therefore, no changes were made to the regulation in response to this comment.

Comment: The Department should monitor transitional adult homes and take all necessary steps to prevent segregation and institutionalization of individuals with disabilities.

Response: General transitional adult home oversight and monitoring activities is outside the scope of these proposed regulations. Therefore, no changes were made to the regulation in response to this comment.

Office of Mental Health

PROPOSED RULE MAKING NO HEARING(S) SCHEDULED

Uncompensated Care Funds Issued Pursuant to the Indigent Care Program

I.D. No. OMH-12-20-00003-P

PURSUANT TO THE PROVISIONS OF THE State Administrative Procedure Act, NOTICE is hereby given of the following proposed rule:

Proposed Action: Amendment of Part 599 of Title 14 NYCRR.

Statutory authority: Mental Hygiene Law, sections 7.09, 31.04, 43.01, 43.02, art. 33; Social Services Law, sections 364 and 364-a

Subject: Uncompensated care funds issued pursuant to the Indigent Care Program.

Purpose: To ensure the appropriate allocation of uncompensated care funds.

Text of proposed rule: 1. Section 599.6 of Title 14 NYCRR is amended to read as follows:

(o) In programs that are not operated by State government, there shall be an annual audit of the service provider, pursuant to a format prescribed by the Office, and in accordance with Generally Accepted Auditing Principles, of the financial condition and accounts of the provider, or in accordance with requirements established by the Department of Health for programs operated by agencies operated pursuant to article 28 of the Public Health Law. This audit shall be performed by a certified public accountant who is not a member of the governing body or an employee of the program. In addition, the provider is required to submit an annual Consolidated Fiscal Report to the Office of Mental Health, signed by the Chief Executive Officer, and meet all requirements for submission as described in the instructions for this Report. Government-operated programs shall comply with applicable laws concerning financial accounts and auditing requirements. *The Office shall utilize the applicable schedules to the annual Consolidated Fiscal Report to the Office of Mental Health to determine provider compliance with the indigent care requirements contained in subsection (k) of section 599.15 of this Part.*

(p) A provider of services required to comply with the indigent care requirements contained in subsection (k) of section 599.15 of this Part

shall ensure that no recipient who is otherwise appropriate for admission is denied access to services solely because the recipient does not have creditable coverage or the means to pay the provider's private pay rates or sliding fee scale.

2. Section 599.15 of Title 14 NYCRR is amended to read as follows:

(a) The indigent care program for clinics has been established by New York State to offset a portion of the losses from uncompensated care experienced by diagnostic and treatment centers licensed by the New York State Department of Health and mental health clinics licensed by the Office that are not also licensed by the New York State Department of Health and/or not directly operated by the Office.

(b) Eligible mental health clinics for purposes of this section shall mean non-profit or county-sponsored clinics that can demonstrate losses from a disproportionate share of uncompensated care during a base period two years prior to the grant period; with the exception of the transition period to be established by the Office in guidance. *Non-profit mental health clinics meeting or exceeding profit margins and total net assets established pursuant to subsection (k) of this section shall not be eligible for allocations pursuant to this section.*

(c) Uncompensated care need, for purposes of this section, means the following, subject to limitations to be provided in guidance by the Office:

(1) Self pay, including partial pay or no pay visits;

(2) Required or optional mental health clinic procedures provided but NOT covered under a clinic's agreement with a third-party payer;

(3) Unreimbursed clinic visits/procedures appropriately provided to an insured recipient by a clinic staff member not approved for payment by a third party payer in contract with the clinic; or

(4) Unreimbursed clinic visits/procedures appropriately provided to an insured recipient by a clinic staff member when the procedure is not reimbursed by a third party payer not in contract with the clinic.

(d) To be eligible for an allocation of funds pursuant to this section, a mental health clinic must demonstrate that a minimum of five percent of total clinic visits reported during the applicable base year period meet the eligibility requirements for the pool. For clinics operated by an agency that operates more than one clinic, to be eligible for an allocation of funds pursuant to this section, the agency must demonstrate that a minimum of five percent of its total clinic visits meets these requirements. To be eligible, clinics must further demonstrate that they maintain a sliding fee scale for uninsured individuals.

(e) Documentation of uncompensated care need must be retained by the clinic and will be subject to an audit by the New York State Office of the Medicaid Inspector General or other party empowered to conduct such audits.

(f) Rules for the reporting of data on uncompensated care visits to the Office will be established in guidance. Providers participating in the uncompensated care pool that do not submit annual data by dates to be established by the Office will be excluded from the pool for that year.

(g) A mental health clinic qualifying for a distribution pursuant to this section shall provide assurances satisfactory to the Commissioners of Health and Mental Health that it shall undertake reasonable efforts to maintain financial support from community and public funding sources and reasonable efforts to collect payments for services from third-party insurance payers, governmental payers and self-paying patients.

(h) To be eligible for reimbursement pursuant to this section, claims must be consistent with the Medical Assistance billing standards set forth in this Part. Payments from the indigent care pool shall be made in accordance with the payment rules established by the Office and the Department of Health.

(i) The allocations of funds to a mental health clinic may be reduced if the Office determines that provider management actions or decisions have caused a significant reduction for the grant period in the delivery of mental health services to uncompensated care residents of the community.

(j) [After a transition period established by the Office in guidance, t] The value of uncompensated care payments *will be established in guidance issued by the Office.* [are based on the average APG peer group Medicaid payment for the second year prior, less expected client payments].

(k) *Except as provided in subdivisions (1) and (2) of this subsection and excluding mental health clinics operated by hospitals licensed pursuant to Article 28 of the Public Health Law, providers operating mental health clinics generating net profits from the clinic program in excess of fifteen percent of total revenue and which report total net assets in excess of two times their total annual operating budget, as determined by the provider's submissions pursuant to subsection (o) of section 599.6 of this Part, shall implement a provider-specific indigent care compliance plan approved by the Office to serve individuals without creditable coverage or the ability to pay the provider's private pay or sliding fee scale. Such indigent care compliance plan shall include terms regarding the acceptance of referrals to serve such individuals from the Office, Local Government Unit, or community and remain in effect until the Office determines that net profits and*

assets no longer exceed the levels established in this subsection. A provider that fails to fully comply with this subsection may have limitations placed on its operating certificate or other sanctions imposed, in accordance with state law and regulations.

(1) Providers required to comply with this subsection may submit documentation to the Office outside of the applicable Consolidated Fiscal Report reporting period to demonstrate that net profits and assets no longer exceed the levels established in this subsection. Redeterminations regarding the applicability of this subsection prior to the submission of the next Consolidated Fiscal Report shall be at the discretion of the Office based on an assessment of the provider's overall financial situation and compliance with Part 513 of this Title.

(2) Non-profit providers that demonstrate losses from the operation of other OMH-licensed programs shall not be required to comply with this subsection if such losses result in net profits of less than fifteen percent of total revenue for all OMH licensed programs operated by the provider.

Text of proposed rule and any required statements and analyses may be obtained from: Sara Paupini, Office of Mental Health, 44 Holland Avenue, Albany, NY 12229, (518) 474-1331, email: sara.paupini@omh.ny.gov

Data, views or arguments may be submitted to: Same as above.

Public comment will be received until: 60 days after publication of this notice.

Regulatory Impact Statement

1. Statutory Authority: Sections 7.09 and 31.04 of the Mental Hygiene Law grant the Commissioner of Mental Health the power and responsibility to adopt regulations that are necessary and proper to implement matters under his or her jurisdiction, and to set standards of quality and adequacy of facilities, equipment, personnel, services, records and programs for the rendition of services for adults diagnosed with mental illness or children diagnosed with emotional disturbance, pursuant to an operating certificate.

Section 43.02(b) of the Mental Hygiene Law gives the Commissioner authority to request from operators of facilities licensed by the Office of Mental Health such financial, statistical and program information as the Commissioner may determine to be necessary.

Article 33 of the Mental Hygiene Law establishes basic rights of persons with mental illness.

Sections 364 and 364-a of the Social Services Law give the Office of Mental Health responsibility for establishing and maintaining standards for medical care and services in facilities under its jurisdiction, in accordance with cooperative arrangements with the Department of Health.

Section 43.01 of the Mental Hygiene Law gives the Commissioner authority to set rates for outpatient services at facilities operated by the Office of Mental Health. Section 43.02 of the Mental Hygiene Law provides that payments under the medical assistance program for outpatient services at facilities licensed by the Office of Mental Health shall be at rates certified by the Commissioner of Mental Health and approved by the Director of the Budget.

2. Legislative Objectives: Chapter 57 of the Laws of 2006 directed the Office of Mental Health (Office) to conduct a study of the mental health reimbursement system. As a result of this study and subsequent to an extensive public process, the Office promulgated 14 NYCRR Part 599 for Clinic Treatment Services. Section 599.15 addresses the indigent care program for clinics which was established by New York State to offset a portion of the losses from uncompensated care experienced by diagnostic treatment centers licensed by the New York State Department of Health and mental health clinics licensed by this Office. These proposed amendments further the legislative policy of ensuring that clinics meeting defined fiscal solvency thresholds do not discriminate against individuals based on their ability to pay source of insurance benefits and are able to provide free or discounted behavioral health services to people who are unable to pay.

3. Needs and Benefits: The State Completed an update to the Medicaid Upper Payment Limit for 2018 which identified Article 31 clinics with reimbursement exceeding average costs. The amendment will help to ensure that State resources are used for indigent care and such uncompensated care funds are not allocated to clinics with profits that do not require such resources. These proposed amendments are part of the agency's periodic review, and will ensure that uncompensated care funds are allocated appropriately through the use of uniform and accurate data, are subject to allocation formulas, and are primarily targeted to subsidize clinics for losses incurred in serving low-income patients that qualify for assistance. These amendments also align and reinforce the goals of the regulation by ensuring fiscally solvent clinics are responsive to the needs of the communities and patient populations they serve.

In particular these amendments include (1) outlining the provider's meeting such solvency thresholds, responsibility to ensure that no recipient who is otherwise appropriate for admission is denied access to services solely because the recipient does not have coverage or the means to pay the provider's pay rates or sliding fee scale and (2) providing a mechanism for clinics not meeting established thresholds with such requirements, to

provide an indigent care compliance plan to OMH which will be enforceable until such clinic has become compliant with providing services to the indigent population.

4. Costs:

(a) Cost to State government: There are no anticipated costs to the state.

(b) Cost to local government: These regulatory amendments will not result in any additional costs to local government.

(c) Cost to regulated parties: These regulatory amendments will not result in any additional costs to those regulated parties meeting indigent care thresholds. The provisions of the amendment would be applicable to fiscally solvent clinics who fail to provide adequate indigent care. Such impacted providers have sufficient resources to cover the cost of indigent care.

5. Local Government Mandates: These regulatory amendments will not result in any additional imposition of duties or responsibilities upon county, city, town, village, school or fire districts.

6. Paperwork: No substantial increase in paperwork is anticipated as a result of the amendments to 14 NYCRR Part 599.

7. Duplication: These regulatory amendments do not duplicate existing State or federal requirements.

8. Alternatives: The only alternative to the regulatory amendment which was considered was inaction. Since inaction would perpetuate providers receiving indigent care fund allocations when they are not meeting the requirements of indigent care as specified in the regulation, that alternative was necessarily rejected.

9. Federal Standards: The regulatory amendments do not exceed any minimum standards of the federal government for the same or similar subject areas.

10. Compliance Schedule: This rulemaking will be effective upon publication of a Notice of Adoption in the State Register.

Regulatory Flexibility Analysis

No regulatory flexibility analysis is required pursuant to section 202-(b)(3)(a) of the State Administrative Procedure Act. The proposed amendment does not impose an adverse economic impact on small businesses or local governments, and it does not impose reporting, record keeping or other compliance requirements on small businesses or local governments. The amendment to the regulation clearly states that if a non-profit clinic loses profits disproportionality to other compliant clinics, they will not be subject to the penalty provision.

Rural Area Flexibility Analysis

No rural area flexibility analysis is required pursuant to section 202-bb(4)(a) of the State Administrative Procedure Act. The proposed rule will not impose any adverse economic impact on rural areas; therefore, a Rural Area Flexibility Analysis is not necessary with this notice.

Job Impact Statement

The amendments to 14 NYCRR Part 599 are intended to provide equality of access to services for recipients identified as having uncompensated care needs. There will be no adverse impact on jobs and employment opportunities as a result of these amendments because many existing clinics currently meet the requirements of providing indigent care. It is evident from the subject matter of this rule that it could only have a positive impact or no impact on jobs or employment, therefore a Job Impact Statement is not necessary with this notice.

Department of Motor Vehicles

PROPOSED RULE MAKING NO HEARING(S) SCHEDULED

Establishes an Internet Prelicensing Course

I.D. No. MTV-12-20-00005-P

PURSUANT TO THE PROVISIONS OF THE State Administrative Procedure Act, NOTICE is hereby given of the following proposed rule:

Proposed Action: Addition of Part 10 to Title 15 NYCRR. This rule is proposed pursuant to SAPA section 207(3), 5-Year Review of Existing Rules.

Statutory authority: Vehicle and Traffic Law, sections 215(a) and 399-r

Subject: Establishes an Internet Prelicensing Course.

Purpose: Conforms regulation with statute.

Substance of proposed rule (Full text is posted at the following State website: www.dmv.ny.gov): The following is a summary of 15 NYCRR Part 10, which establishes regulations for the internet pre-licensing course set forth in Article 12-D of the Vehicle and Traffic Law.

The rule establishes eligibility criteria to apply to deliver an internet pre-licensing course.

The rule sets forth the details of the application process. An application must be accompanied by a \$7,500 fee. A sponsor must post a \$100,000 bond or letter of credit.

The rule sets forth the minimum requirements for all internet pre-licensing courses. The Department of Motor Vehicles (DMV) must be given access to all course materials and must be able to audit all internet pre-licensing courses. Sponsors must allow and cooperate with DMV or its designee's monitoring of internet pre-licensing courses. In addition to any third-party monitor working on behalf of the Department, the sponsors are required to procure an independent third-party monitor.

The rule requires course sponsors to evaluate the effectiveness of their internet pre-licensing course.

The rule sets forth the length of the course and customer support requirements. It also requires that the course sponsors utilize identity validation techniques and content questions that insure student participation.

The rule establishes information security guidelines for course sponsors and requirements for course administration.

The rule sets forth the basis for DMV to suspend or revoke approval of sponsors.

The rule establishes guidelines for acceptable advertising produced by the sponsors.

Text of proposed rule and any required statements and analyses may be obtained from: Heidi Bazicki, Department of Motor Vehicles, 6 Empire State Plaza, Room 522A, Albany, NY 12228, (518) 474-0871, email: dmv.sm.legal@dmv.ny.gov

Data, views or arguments may be submitted to: Christine M. Legorius, Department of Motor Vehicles, 6 Empire State Plaza, Rm. 522A, Albany, NY 12228, (518) 474-0871, email: dmv.sm.legal@dmv.ny.gov

Public comment will be received until: 60 days after publication of this notice.

Five-Year Review of Existing Rules

Regulatory Impact Statement

1. Statutory authority: Article 12-D of the Vehicle and Traffic Law (VTL), as added by Chapter 368 of the Laws of 2019, provides in section 399-p that the Commissioner of Motor Vehicles "...shall establish and implement a comprehensive pilot program to review and study the use of the internet for the administration and completion of an approved pre-licensing course..." Section 399-q of Article 12-D provides that the Commissioner may impose a fee of up to \$7,500 for each applicant for the program. Qualified applicants are permitted to participate in the pilot program from June 30, 2020 to June 30, 2025.

Section 399-r of such law provides that the Commissioner of Motor Vehicles is authorized to promulgate regulations in relation to the pre-licensing course internet pilot program. Such section provides that the regulations should insure that internet delivered courses can validate: student identity at registration and throughout the course; student participation throughout the course; course time requirements; and successful course completion. Such section also provides that the Commissioner may charge the sponsoring agency a fee of up to \$8 for each student who completes the Pilot Program course.

2. Legislative objectives: Section 399-p of new Article 12-D of the VTL expands upon the pre-licensing classroom course set forth in VTL Section 502(4)(a)(i) by authorizing the Commissioner of Motor Vehicles to establish a pilot program to review and study internet as an alternative means of delivering the classroom pre-licensing course. The Legislature specifically directed that the regulations address issues regarding validating student identity, student participation throughout the course, student successful completion of the course and time requirements. The proposed rule is in accord with the public policy objectives that the Legislature sought to advance in creating Article 12-D, since it creates comprehensive and detailed rules for establishing and administering an internet pre-licensing pilot program.

3. Needs and benefits: The proposed revisions are necessary to effectuate the provisions of Article 12-D of the VTL, the Pre-Licensing Course Internet Pilot Program. Chapter 368 of the Laws of 2019, Section 399-r, directs the Commissioner to promulgate any rules and regulations necessary to implement Article 12-D of the VTL.

This proposed regulation is necessary and beneficial to prospective sponsors, approved sponsors and the general public because it sets forth the specific rules and guidelines governing the internet delivery of the pre-licensing pilot program. In particular, this proposal sets forth requirements relative to: eligibility criteria to apply to deliver the internet course; the course application procedures; third party monitoring; Department audits; information security; minimum course requirements; customer support requirements; student identity validation techniques; course validation techniques; evaluation of student participation and course effectiveness;

suspension and revocation of a sponsor's authority to give such course; and advertising restrictions.

In accordance with VTL Article 12-D, Section 399-q, this regulation provides that only sponsors already approved to give the internet accident prevention course (IPIRP) under Article 12-C of the VTL are eligible to participate in the internet pre-licensing course pilot program.

4. Costs: This is a voluntary program. No business is obligated to participate.

VTL Article 12-D, Section 399-q provides that all businesses applying to sponsor the internet pre-licensing course must pay an application fee of \$7,500.00. This application fee, minus administrative expenses of the Department, must be deposited into the dedicated highway and bridge trust fund established pursuant to section 89-b of the State Finance Law.

VTL Article 12-D, Section 399-r (2) authorizes the Commissioner to impose a fee upon each approved sponsoring agency, which shall not exceed \$8.00 for each student who completes the internet course. Such \$8.00 fee, minus administrative expenses of the Department, must be deposited into the dedicated highway and bridge trust fund established pursuant to section 89-b of the State Finance Law.

As set forth in the regulations, a business approved to sponsor an internet course must post a \$100,000 bond or letter of credit.

5. Local government mandates: This proposal does not impose any mandates upon local governments.

6. Paperwork: The primary paperwork requirement is the initial application that all providers must complete to become an approved provider. In addition, the course providers are required to evaluate their course during the five-year period. This will require the retention of data and submission of results to DMV within 90 days of the pilot program termination. Providers must also provide participating students with an online receipt, available for printing. A provider that wishes to substantively change the course must provide DMV with a proposed notice of change. The providers must also maintain records subject to Department audit, submit copies of policies and procedures to the Department, maintain student completion records for five years, issue course completion certificates to the students, report successful completions to the Department, notify students of the requirements necessary to complete the course, and abide by the Department's advertising policies as established in Part 10.15 of this proposal.

7. Duplication: This proposal does not duplicate, overlap or conflict with any relevant rule or legal requirement of the State or federal governments.

8. Alternatives: A no action alternative was not considered. Regulations are mandated by statute.

9. Federal standards: The proposal does not exceed any minimum standards of the federal government for the same or similar subject areas.

10. Compliance schedule: Compliance shall commence upon adoption of this regulation.

Regulatory Flexibility Analysis

1. Effect of rule: There are no local governments affected by this rule.

It is anticipated that new Article 12-D of the Vehicle and Traffic Law and these statutorily required regulations relating thereto will have a detrimental effect on classroom-based driving schools. This is because there are currently 513 businesses registered with the Department that are approved to deliver the classroom pre-licensing course, in addition to educational institutions approved by the New York State Education Department to deliver this course, but none are eligible to participate in the internet pre-licensing course program. The statute only allows the 12 sponsors which have been approved by the Department to provide the already existing internet accident prevention course (IPIRP) under Article 12-C of the Vehicle and Traffic Law to participate in the internet pre-licensing course program. It is anticipated that the availability and convenience of internet delivery of the pre-licensing course will reduce the number of participants in the classroom course, thus negatively impacting the business and revenues of those schools that are ineligible for this pilot program. The extent of this impact is unknown.

2. Compliance requirements: Participation in the online pre-licensing pilot program is voluntary and is limited to the 12 sponsors which have been approved by the Department to provide the already existing internet accident prevention course (IPIRP) under Article 12-C of the Vehicle and Traffic Law. Those choosing to apply will be required to implement strategies for validating student identity, student participation throughout the course, student successful completion of the course and time requirements, as well as securing all personal information.

The primary paperwork requirement is the initial application that all providers must complete to become an approved provider. In addition, the course providers are required to evaluate their course during the five year period. This will require the retention of data and submission of results to the Department within 90 days of the pilot program termination. Providers must also provide participating students with an online receipt, available for printing. A provider that wishes to substantively change the course

must provide the Department with a proposed notice of change. The providers must also maintain records subject to Department audit, submit copies of policies and procedures to the Department, maintain student completion records for five years, issue course completion certificates to the students, report successful completions to the Department, notify students of the requirements necessary to complete the course, and abide by the Department's advertising policies as established in Part 10.15 of this proposal.

3. Professional services: Sponsors may choose to contract with firms that provide Internet services and various technological solutions for verifying student identity participation as part of the overall development of their course. The sponsors may have to contract with an independent third party monitor.

4. Compliance costs: This is a voluntary program. No business is obligated to participate.

VTL Article 12-D, Section 399-q provides that all businesses applying to sponsor the internet pre-licensing course must pay an application fee of \$7,500.00. This application fee, minus administrative expenses of the Department, must be deposited into the dedicated highway and bridge trust fund established pursuant to section 89-b of the State Finance Law.

VTL Article 12-D, Section 399-r (2) authorizes the Commissioner to impose a fee upon each approved sponsoring agency, which shall not exceed \$8.00 for each student who completes the internet course. Such \$8.00 fee, minus administrative expenses of the Department, must be deposited into the dedicated highway and bridge trust fund established pursuant to section 89-b of the State Finance Law.

As set forth in the regulations, a business approved to sponsor an internet course must post a \$100,000 bond or letter of credit.

5. Economic and technological feasibility: Economic and technological feasibility have been demonstrated because only those 12 sponsors approved and currently delivering IPRIP are eligible to apply for this online pre-licensing pilot program.

6. Minimizing adverse impact: This is a voluntary 5-year pilot program. The proposed regulation and associated specifications require commonly accepted, readily available technologies. The proposed regulations allow flexibility for the sponsor in choosing their course delivery method, as well as their validation and security techniques, rather than requiring a specific model.

7. Small business and local government participation: There are no local governments affected by this rule. There was no participation by the 12 eligible IPRIP sponsors. Regulations are mandated by statute.

Rural Area Flexibility Analysis

A Rural Area Flexibility Analysis is not submitted with this proposal because it will not have an adverse or disproportionate impact on rural areas of the State.

Job Impact Statement

It is anticipated that new Article 12-D of the Vehicle and Traffic Law and these statutorily required regulations relating thereto will have a detrimental effect on classroom-based driving schools. This is because there are currently 513 businesses registered with DMV that are approved to deliver the classroom pre-licensing course, in addition to educational institutions approved by the New York State Education Department to deliver this course, but none are eligible to participate in the internet pre-licensing course program. The statute only allows the 12 sponsors which have been approved by DMV to provide the already existing internet accident prevention course (IPIRP) under Article 12-C of the Vehicle and Traffic Law to participate in the internet pre-licensing course program. It is anticipated that the availability and convenience of internet delivery of the pre-licensing course will reduce the number of participants in the classroom course, thus negatively impacting the business and revenues of those schools that are ineligible for this pilot program. The extent of this impact is unknown.

Public Service Commission

PROPOSED RULE MAKING NO HEARING(S) SCHEDULED

Request for Waiver of Tariff Provision

I.D. No. PSC-12-20-00007-P

PURSUANT TO THE PROVISIONS OF THE State Administrative Procedure Act, NOTICE is hereby given of the following proposed rule:

Proposed Action: The Commission is considering a petition filed by Niagara Mohawk Power Corporation d/b/a National Grid, requesting a waiver of Rule 6.2.2 of Service Classification No. 12 of the Company's tariff, P.S.C. No. 220 — Electricity.

Statutory authority: Public Service Law, sections 4(1) and 66(1)

Subject: Request for waiver of tariff provision.

Purpose: Consideration of a request for waiver of tariff provision.

Substance of proposed rule: The Public Service Commission (Commission) is considering a petition filed by Niagara Mohawk Power Corporation d/b/a National Grid (National Grid) on February 5, 2020. The petition requests the Commission provide a waiver of Rule 6.2.2 of Service Classification (SC) – 12 of National Grid's Tariff, P.S.C. No. 220 – Electricity and the New York State Public Service Commission's Order Approving Guidelines for Flexible Rate Service Contracts, issued on April 14, 2005 in Case 03-E-1761.

Rule 6.2.2 of SC-12 of National Grid's Tariff, limits the length of SC-12 contracts to five years. If granted, the waiver will allow National Grid to extend the maximum contract term to approximately eight years, through December 31, 2028. The waiver would apply to eleven customers who the New York Power Authority (NYPA) recently authorized to receive their NYPA hydropower allocation on a first through the meter basis through December 31, 2028. The petition states that the waiver will reduce the administrative burden of all parties having to enter into two separate agreements, due to the five year restriction. Further, the petition states that there are no delivery discounts provided under these contracts.

The full text of the petition and the full record of the proceeding may be reviewed online at the Department of Public Service web page: www.dps.ny.gov. The Commission may adopt, reject or modify, in whole or in part, the action proposed and may resolve related matters.

Text of proposed rule and any required statements and analyses may be obtained by filing a Document Request Form (F-96) located on our website <http://www.dps.ny.gov/f96dir.htm>. For questions, contact: John Pitucci, Public Service Commission, 3 Empire State Plaza, Albany, New York 12223-1350, (518) 486-2655, email: john.pitucci@dps.ny.gov

Data, views or arguments may be submitted to: Michelle L. Phillips, Secretary, Public Service Commission, 3 Empire State Plaza, Albany, New York 12223-1350, (518) 474-6530, email: secretary@dps.ny.gov

Public comment will be received until: 60 days after publication of this notice.

Regulatory Impact Statement, Regulatory Flexibility Analysis, Rural Area Flexibility Analysis and Job Impact Statement

Statements and analyses are not submitted with this notice because the proposed rule is within the definition contained in section 102(2)(a)(ii) of the State Administrative Procedure Act.

(20-E-0062SP1)

PROPOSED RULE MAKING NO HEARING(S) SCHEDULED

Delivery Rates of Corning Natural Gas Corporation

I.D. No. PSC-12-20-00008-P

PURSUANT TO THE PROVISIONS OF THE State Administrative Procedure Act, NOTICE is hereby given of the following proposed rule:

Proposed Action: The Public Service Commission is considering a petition filed by Corning Natural Gas Corporation requesting postponement of a tariff filing required by the Commission Order issued on June 15, 2017.

Statutory authority: Public Service Law, sections 65(1) and 66(12)

Subject: Delivery rates of Corning Natural Gas Corporation.

Purpose: Whether to postpone the implementation of a change in rates that would otherwise become effective on June 1, 2020.

Substance of proposed rule: The Public Service Commission (Commission) is considering a petition filed on March 5, 2020 by Corning Natural Gas Corporation (Corning or the Company) requesting postponement of a tariff filing required pursuant to the Commission's Order Adopting Terms of a Joint Proposal and Establishing Gas Rate Plan, issued on June 15, 2017.

The Joint Proposal provides that if the Company does not file for new rates to become effective at the end of the Rate Year 3, the Company shall file tariff revisions adopting the "Beyond Rate Year 3" rates to take effect on June 1, 2020. The "Beyond Rate Year 3" rates reflect the end of a three-year period of leveled revenues and ensure the Company does not over-collect the revenues that would result from leaving the Rate Year 3 rates in place following the end of the rate plan. Because the rates the Company has proposed in its pending rate case, Case 20-G-0101, would result in an

increase of revenues, the postponement would require the company to reset its rates only once and avoid potential customer confusion. The postponement would delay the implementation of rates that would otherwise become effective on June 1, 2020 to coincide with the implementation of rates in the pending rate case.

The full text of the petition and the full record of the proceeding may be viewed online at the Department of Public Service web page: www.dps.ny.gov. The Commission may adopt, reject, or modify, in whole or in part, the action proposed and may resolve related matters.

Text of proposed rule and any required statements and analyses may be obtained by filing a Document Request Form (F-96) located on our website <http://www.dps.ny.gov/f96dir.htm>. For questions, contact: John Pitucci, Public Service Commission, 3 Empire State Plaza, Albany, New York 12223-1350, (518) 486-2655, email: john.pitucci@dps.ny.gov

Data, views or arguments may be submitted to: Kathleen H. Burgess, Secretary, Public Service Commission, 3 Empire State Plaza, Albany, New York 12223-1350, (518) 474-6530, email: secretary@dps.ny.gov

Public comment will be received until: 60 days after publication of this notice.

Regulatory Impact Statement, Regulatory Flexibility Analysis, Rural Area Flexibility Analysis and Job Impact Statement

Statements and analyses are not submitted with this notice because the proposed rule is within the definition contained in section 102(2)(a)(ii) of the State Administrative Procedure Act.

(16-G-0369SP2)

**PROPOSED RULE MAKING
NO HEARING(S) SCHEDULED**

Clarify Language Regarding Treatment of Multi-Unit Buildings in CDG Projects

I.D. No. PSC-12-20-00009-P

PURSUANT TO THE PROVISIONS OF THE State Administrative Procedure Act, NOTICE is hereby given of the following proposed rule:

Proposed Action: The Commission is considering a proposal filed by Niagara Mohawk Power Corporation d/b/a National Grid to modify P.S.C. No. 220 — Electricity, regarding multi-unit buildings in Community Distributed Generation (CDG) Projects.

Statutory authority: Public Service Law, sections 65 and 66

Subject: Clarify language regarding treatment of multi-unit buildings in CDG projects.

Purpose: To ensure safe and adequate service at just and reasonable rates charged to customers without undue preferences.

Substance of proposed rule: The Commission is considering proposed tariff amendments filed by Niagara Mohawk Power Corporation d/b/a National Grid (National Grid) to amend its electric tariff schedule, P.S.C. No. 220 – Electricity.

National Grid proposes to modify Rule 29 – Requirements of CDG (Community Distributed Generation) Hosts regarding the treatment of multi-unit buildings in CDG projects. The Commission's Order Establishing a Community Distributed Generation Program and Making Other Findings, issued in Case 15-E-0082 on July 17, 2015 (2015 Order), establishes various requirements for CDG programs, including the minimum number of members using the CDG program (referred to as "satellites" in National Grid's tariffs) and the output limitations for the CDG program. National Grid proposes to clarify that CDG Hosts may treat each dwelling unit within a multi-unit building as a separate participant for the sole purpose of determining whether the ten CDG Satellite minimum and 40 percent output limits have been reached. According to National Grid, its proposed tariff amendments will ensure that it treats multi-unit residential buildings as described in the Commission's 2015 Order. The proposed amendments have an effective date of July 1, 2020.

The full text of the petition and tariff amendment and the full record of the proceeding may be reviewed online at the Department of Public Service web page: www.dps.ny.gov. The Commission may adopt, reject or modify, in whole or in part, the action proposed and may resolve related matters.

Text of proposed rule and any required statements and analyses may be obtained by filing a Document Request Form (F-96) located on our website <http://www.dps.ny.gov/f96dir.htm>. For questions, contact: John Pitucci, Public Service Commission, 3 Empire State Plaza, Albany, New York 12223-1350, (518) 486-2655, email: john.pitucci@dps.ny.gov

Data, views or arguments may be submitted to: Michelle L. Phillips, Secretary, Public Service Commission, 3 Empire State Plaza, Albany, New York 12223-1350, (518) 474-6530, email: secretary@dps.ny.gov

Public comment will be received until: 60 days after publication of this notice.

Regulatory Impact Statement, Regulatory Flexibility Analysis, Rural Area Flexibility Analysis and Job Impact Statement

Statements and analyses are not submitted with this notice because the proposed rule is within the definition contained in section 102(2)(a)(ii) of the State Administrative Procedure Act.

(20-E-0095SP1)

**PROPOSED RULE MAKING
NO HEARING(S) SCHEDULED**

Direct Energy, LLC's Green Gas Products

I.D. No. PSC-12-20-00010-P

PURSUANT TO THE PROVISIONS OF THE State Administrative Procedure Act, NOTICE is hereby given of the following proposed rule:

Proposed Action: The Commission is considering a petition filed on February 28, 2020 by Direct Energy Services, LLC requesting to offer two Green Gas Products to mass market customers without being paired with a compliant guaranteed savings or fixed-rate product.

Statutory authority: Public Service Law, sections 5(1)(b), 65(1), (2), (3), 66(1), (2), (3), (5) and (8)

Subject: Direct Energy, LLC's Green Gas Products.

Purpose: To consider whether Direct Energy, LLC should be allowed to offer two Green Gas Products to mass market customers.

Substance of proposed rule: The Public Service Commission (Commission) is considering a petition filed on February 28, 2020 by Direct Energy Services, LLC (Direct Energy) requesting approval to offer two Green Gas Products to mass market customers without those products being paired with a compliant guaranteed savings or fixed-rate product as required by the Commission's Order Adopting Changes to the Retail Access Energy Market and Establishing Further Process, issued on December 12, 2019 in Case 15-M-0127, et al. (December 2019 Order).

The December 2019 Order, among other things, limited the types of products that energy service companies (ESCOs) can offer to New York mass market customers to those products that: (1) include a guaranteed savings over the utility price, as reconciled on an annual basis; (2) are for a fixed-rate commodity product that is priced at no more than 5% greater than the trailing 12-month average utility supply rate; and, (3) are for a renewably sourced electric commodity product that (a) has a renewable mix that is at least 50% greater than the ESCO's current Renewable Energy Standard (RES) obligation, and (b) the ESCO complies with the RES locational and delivery requirements when procuring Renewable Energy Credits (RECs) or entering into bilateral contracts for renewable commodity supply. Additionally, the December 2019 Order allowed for an additional product to be offered by Agway Energy Services, LLC (Agway) who provides customers with its EnergyGuard service. The December 2019 Order provided a limited opportunity for other ESCOs to petition the Commission for the opportunity to sell a product/service similar to EnergyGuard.

Direct Energy requests that it be permitted to offer two Green Gas Products. The first product, the "RGGI Gas" product, would calculate customer-specific CO2 footprints from natural gas usage and then help offset that usage by acquiring allowances in the auction mechanism operated by the Regional Greenhouse Gas Initiative (RGGI).

The second product, the "Cleaner Heat" product, would enable consumers to "virtually" electrify one-half of the home heating portion of a typical New Yorker's home. Direct Energy proposed to accomplish this through the purchase and retirement of Renewable Energy Certificates or by making Alternative Compliance Payments to the New York State Energy Research and Development Authority (NYSERDA) under terms identical to those required for the offering of a green electric product authorized by the December 2019 Order.

Direct Energy asserts that both the RGGI Gas and the Cleaner Heat products would advance New York's decarbonization goals while providing a meaningful price signal to customers to consider their environmental footprint as well as alternatives to home natural gas consumption. Direct Energy further asserts that both products meet the fundamental goals of the December 2019 Order and thus should be approved.

The full text of the petition and the full record of the proceeding may be reviewed online at the Department of Public Service web page: www.dps.ny.gov. The Commission may adopt, reject or modify, in whole or in part, the action proposed and may resolve related matters.

Text of proposed rule and any required statements and analyses may be obtained by filing a Document Request Form (F-96) located on our website <http://www.dps.ny.gov/f96dir.htm>. For questions, contact: John Pitucci, Public Service Commission, 3 Empire State Plaza, Albany, New York 12223-1350, (518) 486-2655, email: john.pitucci@dps.ny.gov

Data, views or arguments may be submitted to: Michelle L. Phillips, Secretary, Public Service Commission, 3 Empire State Plaza, Albany, New York 12223-1350, (518) 474-6517, email: secretary@dps.ny.gov

Public comment will be received until: 60 days after publication of this notice.

Regulatory Impact Statement, Regulatory Flexibility Analysis, Rural Area Flexibility Analysis and Job Impact Statement

Statements and analyses are not submitted with this notice because the proposed rule is within the definition contained in section 102(2)(a)(ii) of the State Administrative Procedure Act.

(15-M-0127SP11)

**PROPOSED RULE MAKING
NO HEARING(S) SCHEDULED**

Sale of Facilities

I.D. No. PSC-12-20-00011-P

PURSUANT TO THE PROVISIONS OF THE State Administrative Procedure Act, NOTICE is hereby given of the following proposed rule:

Proposed Action: The Commission is considering a petition filed by Rochester Gas and Electric Corporation requesting the sale of the building and property, property #1250 located in the Village of Geneseo, to Rocco Dragani.

Statutory authority: Public Service Law, sections 65, 66 and 70

Subject: Sale of facilities.

Purpose: To consider whether the sale of facilities is in the public interest.

Substance of proposed rule: The Public Service Commission (Commission) is considering a petition filed by Rochester Gas and Electric Corporation requesting the sale of the building and property (Facilities), property #1250 located in the Village of Geneseo, to Rocco Dragani.

The original cost of the facilities was approximately \$314,510 and would be sold for \$389,900, which represents the current fair market value of the facilities. The current net book value of the facilities is \$203,647.

The petition and the full text of the proceeding may be viewed online at the Department of Public Service web page: www.dps.ny.gov. The Commission may adopt, reject, or modify, in whole or in part, the action proposed and may resolve related matters.

Text of proposed rule and any required statements and analyses may be obtained by filing a Document Request Form (F-96) located on our website <http://www.dps.ny.gov/f96dir.htm>. For questions, contact: John Pitucci, Public Service Commission, 3 Empire State Plaza, Albany, New York 12223-1350, (518) 486-2655, email: john.pitucci@dps.ny.gov

Data, views or arguments may be submitted to: Michelle L. Phillips, Secretary, Public Service Commission, 3 Empire State Plaza, Albany, New York 12223-1350, (518) 474-6530, email: secretary@dps.ny.gov

Public comment will be received until: 60 days after publication of this notice.

Regulatory Impact Statement, Regulatory Flexibility Analysis, Rural Area Flexibility Analysis and Job Impact Statement

Statements and analyses are not submitted with this notice because the proposed rule is within the definition contained in section 102(2)(a)(ii) of the State Administrative Procedure Act.

(20-E-0094SP1)

**PROPOSED RULE MAKING
NO HEARING(S) SCHEDULED**

Transfer of Street Lighting Facilities

I.D. No. PSC-12-20-00012-P

PURSUANT TO THE PROVISIONS OF THE State Administrative Procedure Act, NOTICE is hereby given of the following proposed rule:

Proposed Action: The Commission is considering a petition filed by New York State Electric and Gas Corporation (NYSEG) regarding the sale of street lighting facilities to the City of Ithaca.

Statutory authority: Public Service Law, section 70-a

Subject: Transfer of street lighting facilities.

Purpose: Consideration of petition by NYSEG for transfer of assets to the City of Ithaca.

Substance of proposed rule: The Public Service Commission (Commission) is considering a petition filed by New York State Electric & Gas

Corporation (NYSEG or the Company) on February 3, 2020, requesting approval to transfer ownership of its street lighting facilities installed through the City of Ithaca (City). The street lighting facilities consist of a system of street lighting poles, luminaires, lamps, mast arms, electrical connections, and wiring. NYSEG requests the Commission's approval of the transaction pursuant to Public Service Law § 70-1, as the original cost of the proposed assets to be transferred is greater than \$100,000.

Based on plant records, NYSEG represents that the original book cost of the street lighting facilities is approximately \$887,567 and the net book value, as of September 30, 2019, is \$303,644. The Company proposes to transfer the street lighting facilities to the City for \$711,534. Upon the closing date of the sale, the City will become solely responsible and liable for the operation, maintenance, and condition of the street lighting facilities. The transfer will not impact the reliability, safety, operation, or maintenance of NYSEG's electric distribution system.

The full text of the petition and the full record of the proceeding may be reviewed online at the Department of Public Service web page: www.dps.ny.gov. The Commission may adopt, reject or modify, in whole or in part, the action proposed and may resolve related matters.

Text of proposed rule and any required statements and analyses may be obtained by filing a Document Request Form (F-96) located on our website <http://www.dps.ny.gov/f96dir.htm>. For questions, contact: John Pitucci, Public Service Commission, 3 Empire State Plaza, Albany, New York 12223-1350, (518) 486-2655, email: john.pitucci@dps.ny.gov

Data, views or arguments may be submitted to: Michelle L. Phillips, Secretary, Public Service Commission, 3 Empire State Plaza, Albany, New York 12223-1350, (518) 474-6530, email: secretary@dps.ny.gov

Public comment will be received until: 60 days after publication of this notice.

Regulatory Impact Statement, Regulatory Flexibility Analysis, Rural Area Flexibility Analysis and Job Impact Statement

Statements and analyses are not submitted with this notice because the proposed rule is within the definition contained in section 102(2)(a)(ii) of the State Administrative Procedure Act.

(20-E-0050SP1)

**PROPOSED RULE MAKING
NO HEARING(S) SCHEDULED**

Changes to Public Service Law Section 66-p Relating to Billing Information for Residential Rental Premises

I.D. No. PSC-12-20-00013-P

PURSUANT TO THE PROVISIONS OF THE State Administrative Procedure Act, NOTICE is hereby given of the following proposed rule:

Proposed Action: The Commission is considering a proposal filed by Valley Energy, Inc. to modify its gas tariff schedule regarding changes to Public Service Law section 66-p, relating to billing information for residential rental premises.

Statutory authority: Public Service Law, sections 65, 66 and 66-p

Subject: Changes to Public Service Law section 66-p relating to billing information for residential rental premises.

Purpose: To establish provisions as necessary to effectuate Public Service Law section 66-p.

Substance of proposed rule: The Commission is considering a proposal filed by Valley Energy, Inc. (Valley Energy or the Company) on February 21, 2020, to amend its gas tariff schedule, P.S.C. No. 1. Valley Energy proposes to establish a provision relating to billing information for residential rental properties in accordance with the recently enacted Public Service Law § 66-p, which is to become effective on April 18, 2020.

Valley Energy proposes to include language in its gas tariff specifying that the Company shall provide the prospective tenant and landlord or other authorized person of a prospective residential rental premises the total gas charges incurred during the life at such premises, or the preceding two-year period of tenancy, whichever is shorter, within ten days of receipt of the written request, at no cost to the requestor. The proposed amendment has an effective date of July 1, 2020.

The full text of the proposal and the full record of the proceeding may be reviewed online at the Department of Public Service web page: www.dps.ny.gov. The Commission may adopt, reject or modify, in whole or in part, the action proposed and may resolve related matters.

Text of proposed rule and any required statements and analyses may be obtained by filing a Document Request Form (F-96) located on our website <http://www.dps.ny.gov/f96dir.htm>. For questions, contact: John Pitucci, Public Service Commission, 3 Empire State Plaza, Albany, New York 12223-1350, (518) 486-2655, email: john.pitucci@dps.ny.gov

Data, views or arguments may be submitted to: Michelle L. Phillips, Secretary, Public Service Commission, 3 Empire State Plaza, Albany, New York 12223-1350, (518) 474-6530, email: secretary@dps.ny.gov

Public comment will be received until: 60 days after publication of this notice.

Regulatory Impact Statement, Regulatory Flexibility Analysis, Rural Area Flexibility Analysis and Job Impact Statement

Statements and analyses are not submitted with this notice because the proposed rule is within the definition contained in section 102(2)(a)(ii) of the State Administrative Procedure Act.

(20-M-0029SP10)

PROPOSED RULE MAKING NO HEARING(S) SCHEDULED

Changes to Public Service Law Section 66-p Relating to Billing Information for Residential Rental Premises

I.D. No. PSC-12-20-00014-P

PURSUANT TO THE PROVISIONS OF THE State Administrative Procedure Act, NOTICE is hereby given of the following proposed rule:

Proposed Action: The Commission is considering a proposal filed by Central Hudson Gas & Electric Corporation to modify its electric and gas tariff schedules regarding changes to Public Service Law Section 66-p, relating to billing information for residential rental premises.

Statutory authority: Public Service Law, sections 65, 66 and 66-p

Subject: Changes to Public Service Law section 66-p relating to billing information for residential rental premises.

Purpose: To establish provisions as necessary to effectuate Public Service Law section 66-p.

Substance of proposed rule: The Commission is considering proposals filed by Central Hudson Gas & Electric Corporation (Central Hudson or the Company) on February 21, 2020, to amend its electric and gas tariff schedules, P.S.C. Nos. 15 and 12, respectively. Central Hudson proposes to establish provisions relating to billing information for residential rental properties in accordance with the recently enacted Public Service Law § 66-p, which is to become effective on April 18, 2020.

Central Hudson proposes to include language in its electric and gas tariffs specifying that the Company shall provide the prospective tenant and landlord or other authorized person of a prospective residential rental premises the total electric and/or gas charges incurred during the life at such premises, or the preceding two-year period of tenancy, whichever is shorter, within ten days of receipt of the written request, at no cost to the requestor. The proposed amendments have an effective date of July 1, 2020.

The full text of the proposals and the full record of the proceeding may be reviewed online at the Department of Public Service web page: www.dps.ny.gov. The Commission may adopt, reject or modify, in whole or in part, the action proposed and may resolve related matters.

Text of proposed rule and any required statements and analyses may be obtained by filing a Document Request Form (F-96) located on our website <http://www.dps.ny.gov/f96dir.htm>. For questions, contact: John Pitucci, Public Service Commission, 3 Empire State Plaza, Albany, New York 12223-1350, (518) 486-2655, email: john.pitucci@dps.ny.gov

Data, views or arguments may be submitted to: Michelle L. Phillips, Secretary, Public Service Commission, 3 Empire State Plaza, Albany, New York 12223-1350, (518) 474-6530, email: secretary@dps.ny.gov

Public comment will be received until: 60 days after publication of this notice.

Regulatory Impact Statement, Regulatory Flexibility Analysis, Rural Area Flexibility Analysis and Job Impact Statement

Statements and analyses are not submitted with this notice because the proposed rule is within the definition contained in section 102(2)(a)(ii) of the State Administrative Procedure Act.

(20-M-0029SP1)

PROPOSED RULE MAKING NO HEARING(S) SCHEDULED

Changes to Public Service Law Section 66-p Relating to Billing Information for Residential Rental Premises

I.D. No. PSC-12-20-00015-P

PURSUANT TO THE PROVISIONS OF THE State Administrative Procedure Act, NOTICE is hereby given of the following proposed rule:

Proposed Action: The Commission is considering a proposal filed by Consolidated Edison Company of New York, Inc. to modify its electric and gas tariff schedules regarding changes to Public Service Law section 66-p, relating to billing information for residential rental premises.

Statutory authority: Public Service Law, sections 65, 66 and 66-p

Subject: Changes to Public Service Law section 66-p relating to billing information for residential rental premises.

Purpose: To establish provisions as necessary to effectuate Public Service Law section 66-p.

Substance of proposed rule: The Commission is considering proposals filed by Consolidated Edison of New York, Inc. (Con Edison or the Company) on February 21, 2020, to amend its electric and gas tariff schedules, P.S.C. Nos. 10 and 9, respectively. Con Edison proposes to establish provisions relating to billing information for residential rental properties in accordance with the recently enacted Public Service Law § 66-p, which is to become effective on April 18, 2020.

Con Edison proposes to include language in its electric and gas tariffs specifying that the Company shall provide the prospective tenant and landlord or other authorized person of a prospective residential rental premises the total electric and/or gas charges incurred during the life at such premises, or the preceding two-year period of tenancy, whichever is shorter, within ten days of receipt of the written request, at no cost to the requestor. The proposed amendments have an effective date of July 1, 2020.

The full text of the proposals and the full record of the proceeding may be reviewed online at the Department of Public Service web page: www.dps.ny.gov. The Commission may adopt, reject or modify, in whole or in part, the action proposed and may resolve related matters.

Text of proposed rule and any required statements and analyses may be obtained by filing a Document Request Form (F-96) located on our website <http://www.dps.ny.gov/f96dir.htm>. For questions, contact: John Pitucci, Public Service Commission, 3 Empire State Plaza, Albany, New York 12223-1350, (518) 486-2655, email: john.pitucci@dps.ny.gov

Data, views or arguments may be submitted to: Michelle L. Phillips, Secretary, Public Service Commission, 3 Empire State Plaza, Albany, New York 12223-1350, (518) 474-6530, email: secretary@dps.ny.gov

Public comment will be received until: 60 days after publication of this notice.

Regulatory Impact Statement, Regulatory Flexibility Analysis, Rural Area Flexibility Analysis and Job Impact Statement

Statements and analyses are not submitted with this notice because the proposed rule is within the definition contained in section 102(2)(a)(ii) of the State Administrative Procedure Act.

(20-M-0029SP2)

PROPOSED RULE MAKING NO HEARING(S) SCHEDULED

Changes to Public Service Law Section 66-p Relating to Billing Information for Residential Rental Premises

I.D. No. PSC-12-20-00016-P

PURSUANT TO THE PROVISIONS OF THE State Administrative Procedure Act, NOTICE is hereby given of the following proposed rule:

Proposed Action: The Commission is considering a proposal filed by KeySpan Gas East Corporation d/b/a National Grid to modify its gas tariff schedule regarding changes to Public Service Law section 66-p, relating to billing information for residential rental premises.

Statutory authority: Public Service Law, sections 65, 66 and 66-p

Subject: Changes to Public Service Law section 66-p relating to billing information for residential rental premises.

Purpose: To establish provisions as necessary to effectuate Public Service Law section 66-p.

Substance of proposed rule: The Commission is considering a proposal filed by KeySpan Gas East Corporation d/b/a National Grid (KEDLI or the Company) on February 21, 2020, to amend its gas tariff schedule, P.S.C. No. 1. KEDLI proposes to establish a provision relating to billing information for residential rental properties in accordance with the recently enacted Public Service Law § 66-p, which is to become effective on April 18, 2020.

KEDLI proposes to include language in its gas tariff specifying that the Company shall provide the prospective tenant and landlord or other authorized person of a prospective residential rental premises the total gas charges incurred during the life at such premises, or the preceding two-year period of tenancy, whichever is shorter, within ten days of receipt of

the written request, at no cost to the requestor. The proposed amendment has an effective date of July 1, 2020.

The full text of the proposal and the full record of the proceeding may be reviewed online at the Department of Public Service web page: www.dps.ny.gov. The Commission may adopt, reject or modify, in whole or in part, the action proposed and may resolve related matters.

Text of proposed rule and any required statements and analyses may be obtained by filing a Document Request Form (F-96) located on our website <http://www.dps.ny.gov/f96dir.htm>. For questions, contact: John Pitucci, Public Service Commission, 3 Empire State Plaza, Albany, New York 12223-1350, (518) 486-2655, email: john.pitucci@dps.ny.gov

Data, views or arguments may be submitted to: Michelle L. Phillips, Secretary, Public Service Commission, 3 Empire State Plaza, Albany, New York 12223-1350, (518) 474-6530, email: secretary@dps.ny.gov

Public comment will be received until: 60 days after publication of this notice.

Regulatory Impact Statement, Regulatory Flexibility Analysis, Rural Area Flexibility Analysis and Job Impact Statement

Statements and analyses are not submitted with this notice because the proposed rule is within the definition contained in section 102(2)(a)(ii) of the State Administrative Procedure Act.

(20-M-0029SP3)

**PROPOSED RULE MAKING
NO HEARING(S) SCHEDULED**

Changes to Public Service Law Section 66-p Relating to Billing Information for Residential Rental Premises

I.D. No. PSC-12-20-00017-P

PURSUANT TO THE PROVISIONS OF THE State Administrative Procedure Act, NOTICE is hereby given of the following proposed rule:

Proposed Action: The Commission is considering a proposal filed by National Fuel Gas Distribution Corporation to modify its gas tariff schedule regarding changes to Public Service Law section 66-p, relating to billing information for residential rental premises.

Statutory authority: Public Service Law, sections 65, 66 and 66-p

Subject: Changes to Public Service Law section 66-p relating to billing information for residential rental premises.

Purpose: To establish provisions as necessary to effectuate Public Service Law section 66-p.

Substance of proposed rule: The Commission is considering a proposal filed by National Fuel Gas Distribution Corporation (NFG or the Company) on February 21, 2020, to amend its gas tariff schedule, P.S.C. No. 9. NFG proposes to establish a provision relating to billing information for residential rental properties in accordance with the recently enacted Public Service Law § 66-p, which is to become effective on April 18, 2020.

NFG proposes to include language in its gas tariff specifying that the Company shall provide the prospective tenant and landlord or other authorized person of a prospective residential rental premises the total gas charges incurred during the life at such premises of tenancy, or the preceding two-year period, whichever is shorter, within ten days of receipt of the written request, at no cost to the requestor. The proposed amendment has an effective date of July 1, 2020.

The full text of the proposal and the full record of the proceeding may be reviewed online at the Department of Public Service web page: www.dps.ny.gov. The Commission may adopt, reject or modify, in whole or in part, the action proposed and may resolve related matters.

Text of proposed rule and any required statements and analyses may be obtained by filing a Document Request Form (F-96) located on our website <http://www.dps.ny.gov/f96dir.htm>. For questions, contact: John Pitucci, Public Service Commission, 3 Empire State Plaza, Albany, New York 12223-1350, (518) 486-2655, email: john.pitucci@dps.ny.gov

Data, views or arguments may be submitted to: Michelle L. Phillips, Secretary, Public Service Commission, 3 Empire State Plaza, Albany, New York 12223-1350, (518) 474-6530, email: secretary@dps.ny.gov

Public comment will be received until: 60 days after publication of this notice.

Regulatory Impact Statement, Regulatory Flexibility Analysis, Rural Area Flexibility Analysis and Job Impact Statement

Statements and analyses are not submitted with this notice because the proposed rule is within the definition contained in section 102(2)(a)(ii) of the State Administrative Procedure Act.

(20-M-0029SP4)

**PROPOSED RULE MAKING
NO HEARING(S) SCHEDULED**

Changes to Public Service Law Section 66-p Relating to Billing Information for Residential Rental Premises

I.D. No. PSC-12-20-00018-P

PURSUANT TO THE PROVISIONS OF THE State Administrative Procedure Act, NOTICE is hereby given of the following proposed rule:

Proposed Action: The Commission is considering a proposal filed by New York State Electric & Gas Corporation to modify its electric and gas tariff schedules regarding changes to Public Service Law section 66-p, relating to billing information for residential rental premises.

Statutory authority: Public Service Law, sections 65, 66 and 66-p

Subject: Changes to Public Service Law section 66-p relating to billing information for residential rental premises.

Purpose: To establish provisions as necessary to effectuate Public Service Law section 66-p.

Substance of proposed rule: The Commission is considering proposals filed by New York State Electric & Gas Corporation (NYSEG or the Company) on February 21, 2020, to amend its electric and gas tariff schedules, P.S.C. Nos. 119 and 90, respectively. NYSEG proposes to establish provisions relating to billing information for residential rental properties in accordance with the recently enacted Public Service Law § 66-p, which is to become effective on April 18, 2020.

NYSEG proposes to include language in its electric and gas tariffs specifying that the Company shall provide the prospective tenant and landlord or other authorized person of a prospective residential rental premises the total electric and/or gas charges incurred during the life at such premises, or the preceding two-year period of tenancy, whichever is shorter, within ten days of receipt of the written request, at no cost to the requestor. The proposed amendments have an effective date of July 1, 2020.

The full text of the proposals and the full record of the proceeding may be reviewed online at the Department of Public Service web page: www.dps.ny.gov. The Commission may adopt, reject or modify, in whole or in part, the action proposed and may resolve related matters.

Text of proposed rule and any required statements and analyses may be obtained by filing a Document Request Form (F-96) located on our website <http://www.dps.ny.gov/f96dir.htm>. For questions, contact: John Pitucci, Public Service Commission, 3 Empire State Plaza, Albany, New York 12223-1350, (518) 486-2655, email: john.pitucci@dps.ny.gov

Data, views or arguments may be submitted to: Michelle L. Phillips, Secretary, Public Service Commission, 3 Empire State Plaza, Albany, New York 12223-1350, (518) 474-6530, email: secretary@dps.ny.gov

Public comment will be received until: 60 days after publication of this notice.

Regulatory Impact Statement, Regulatory Flexibility Analysis, Rural Area Flexibility Analysis and Job Impact Statement

Statements and analyses are not submitted with this notice because the proposed rule is within the definition contained in section 102(2)(a)(ii) of the State Administrative Procedure Act.

(20-M-0029SP5)

**PROPOSED RULE MAKING
NO HEARING(S) SCHEDULED**

Changes to Public Service Law Section 66-p Relating to Billing Information for Residential Rental Premises

I.D. No. PSC-12-20-00019-P

PURSUANT TO THE PROVISIONS OF THE State Administrative Procedure Act, NOTICE is hereby given of the following proposed rule:

Proposed Action: The Commission is considering a proposal filed by Niagara Mohawk Power Corporation d/b/a National Grid to modify its electric and gas tariff schedules regarding changes to Public Service Law section 66-p, relating to billing information for residential rental premises.

Statutory authority: Public Service Law, sections 65, 66 and 66-p

Subject: Changes to Public Service Law section 66-p relating to billing information for residential rental premises.

Purpose: To establish provisions as necessary to effectuate Public Service Law section 66-p.

Substance of proposed rule: The Commission is considering proposals filed by Niagara Mohawk Power Corporation d/b/a National Grid (NMPC or the Company) on February 21, 2020, to amend its electric and gas tariff schedules, P.S.C. Nos. 220 and 219, respectively. NMPC proposes to establish provisions relating to billing information for residential rental properties in accordance with the recently enacted Public Service Law § 66-p, which is to become effective on April 18, 2020.

NMPC proposes to include language in its electric and gas tariffs specifying that the Company shall provide the prospective tenant and landlord or other authorized person of a prospective residential rental premises the total electric and/or gas charges incurred during the life at such premises, or the preceding two-year period of tenancy, whichever is shorter, within ten days of receipt of the written request, at no cost to the requestor. The proposed amendments have an effective date of July 1, 2020.

The full text of the proposals and the full record of the proceeding may be reviewed online at the Department of Public Service web page: www.dps.ny.gov. The Commission may adopt, reject or modify, in whole or in part, the action proposed and may resolve related matters.

Text of proposed rule and any required statements and analyses may be obtained by filing a Document Request Form (F-96) located on our website <http://www.dps.ny.gov/f96dir.htm>. For questions, contact: John Pitucci, Public Service Commission, 3 Empire State Plaza, Albany, New York 12223-1350, (518) 486-2655, email: john.pitucci@dps.ny.gov

Data, views or arguments may be submitted to: Michelle L. Phillips, Secretary, Public Service Commission, 3 Empire State Plaza, Albany, New York 12223-1350, (518) 474-6530, email: secretary@dps.ny.gov

Public comment will be received until: 60 days after publication of this notice.

Regulatory Impact Statement, Regulatory Flexibility Analysis, Rural Area Flexibility Analysis and Job Impact Statement

Statements and analyses are not submitted with this notice because the proposed rule is within the definition contained in section 102(2)(a)(ii) of the State Administrative Procedure Act.

(20-M-0029SP6)

PROPOSED RULE MAKING NO HEARING(S) SCHEDULED

Changes to Public Service Law Section 66-p Relating to Billing Information for Residential Rental Premises

I.D. No. PSC-12-20-00020-P

PURSUANT TO THE PROVISIONS OF THE State Administrative Procedure Act, NOTICE is hereby given of the following proposed rule:

Proposed Action: The Commission is considering a proposal filed by Orange and Rockland Utilities, Inc. to modify its electric and gas tariff schedules regarding changes to Public Service Law section 66-p, relating to billing information for residential rental premises.

Statutory authority: Public Service Law, sections 65, 66 and 66-p

Subject: Changes to Public Service Law section 66-p relating to billing information for residential rental premises.

Purpose: To establish provisions as necessary to effectuate Public Service Law section 66-p.

Substance of proposed rule: The Commission is considering proposals filed by Orange and Rockland Utilities, Inc. (O&R or the Company) on February 21, 2020, to amend its electric and gas tariff schedules, P.S.C. Nos. 3 and 4, respectively. O&R proposes to establish provisions relating to billing information for residential rental properties in accordance with the recently enacted Public Service Law § 66-p, which is to become effective on April 18, 2020.

O&R proposes to include language in its electric and gas tariffs specifying that the Company shall provide the prospective tenant and landlord or other authorized person of a prospective residential rental premises the total electric and/or gas charges incurred during the life at such premises, or the preceding two-year period of tenancy, whichever is shorter, within ten days of receipt of the written request, at no cost to the requestor. The proposed amendments have an effective date of July 1, 2020.

The full text of the proposals and the full record of the proceeding may be reviewed online at the Department of Public Service web page: www.dps.ny.gov. The Commission may adopt, reject or modify, in whole or in part, the action proposed and may resolve related matters.

Text of proposed rule and any required statements and analyses may be obtained by filing a Document Request Form (F-96) located on our website <http://www.dps.ny.gov/f96dir.htm>. For questions, contact: John Pitucci, Public Service Commission, 3 Empire State Plaza, Albany, New York 12223-1350, (518) 486-2655, email: john.pitucci@dps.ny.gov

Data, views or arguments may be submitted to: Michelle L. Phillips, Secretary, Public Service Commission, 3 Empire State Plaza, Albany, New York 12223-1350, (518) 474-6530, email: secretary@dps.ny.gov

Public comment will be received until: 60 days after publication of this notice.

Regulatory Impact Statement, Regulatory Flexibility Analysis, Rural Area Flexibility Analysis and Job Impact Statement

Statements and analyses are not submitted with this notice because the proposed rule is within the definition contained in section 102(2)(a)(ii) of the State Administrative Procedure Act.

(20-M-0029SP7)

PROPOSED RULE MAKING NO HEARING(S) SCHEDULED

Changes to Public Service Law Section 66-p Relating to Billing Information for Residential Rental Premises

I.D. No. PSC-12-20-00021-P

PURSUANT TO THE PROVISIONS OF THE State Administrative Procedure Act, NOTICE is hereby given of the following proposed rule:

Proposed Action: The Commission is considering a proposal filed by The Brooklyn Union Gas Company d/b/a National Grid NY to modify its gas tariff schedule regarding changes to Public Service Law section 66-p, relating to billing information for residential rental premises.

Statutory authority: Public Service Law, sections 65, 66 and 66-p

Subject: Changes to Public Service Law section 66-p relating to billing information for residential rental premises.

Purpose: To establish provisions as necessary to effectuate Public Service Law section 66-p.

Substance of proposed rule: The Commission is considering a proposal filed by The Brooklyn Union Gas Company d/b/a National Grid NY (KEDNY or the Company) on February 21, 2020, to amend its gas tariff schedule, P.S.C. No. 12. KEDNY proposes to establish a provision relating to billing information for residential rental properties in accordance with the recently enacted Public Service Law § 66-p, which is to become effective on April 18, 2020.

KEDNY proposes to include language in its gas tariff specifying that the Company shall provide the prospective tenant and landlord or other authorized person of a prospective residential rental premises the total gas charges incurred during the life at such premises, or the preceding two-year period of tenancy, whichever is shorter, within ten days of receipt of the written request, at no cost to the requestor. The proposed amendment has an effective date of July 1, 2020.

The full text of the proposal and the full record of the proceeding may be reviewed online at the Department of Public Service web page: www.dps.ny.gov. The Commission may adopt, reject or modify, in whole or in part, the action proposed and may resolve related matters.

Text of proposed rule and any required statements and analyses may be obtained by filing a Document Request Form (F-96) located on our website <http://www.dps.ny.gov/f96dir.htm>. For questions, contact: John Pitucci, Public Service Commission, 3 Empire State Plaza, Albany, New York 12223-1350, (518) 486-2655, email: john.pitucci@dps.ny.gov

Data, views or arguments may be submitted to: Michelle L. Phillips, Secretary, Public Service Commission, 3 Empire State Plaza, Albany, New York 12223-1350, (518) 474-6530, email: secretary@dps.ny.gov

Public comment will be received until: 60 days after publication of this notice.

Regulatory Impact Statement, Regulatory Flexibility Analysis, Rural Area Flexibility Analysis and Job Impact Statement

Statements and analyses are not submitted with this notice because the proposed rule is within the definition contained in section 102(2)(a)(ii) of the State Administrative Procedure Act.

(20-M-0029SP9)

PROPOSED RULE MAKING NO HEARING(S) SCHEDULED

Changes to Public Service Law Section 66-p Relating to Billing Information for Residential Rental Premises

I.D. No. PSC-12-20-00022-P

PURSUANT TO THE PROVISIONS OF THE State Administrative Procedure Act, NOTICE is hereby given of the following proposed rule:

Proposed Action: The Commission is considering a proposal filed by Rochester Gas and Electric Corporation to modify its electric and gas tariff schedules regarding changes to Public Service Law section 66-p, relating to billing information for residential rental premises.

Statutory authority: Public Service Law, sections 65, 66 and 66-p

Subject: Changes to Public Service Law section 66-p relating to billing information for residential rental premises.

Purpose: To establish provisions as necessary to effectuate Public Service Law section 66-p.

Substance of proposed rule: The Commission is considering proposals filed by Rochester Gas and Electric Corporation (RG&E or the Company) on February 21, 2020, to amend its electric and gas tariff schedules, P.S.C. Nos. 19 and 16, respectively. RG&E proposes to establish provisions relating to billing information for residential rental properties in accordance with the recently enacted Public Service Law § 66-p, which is to become effective on April 18, 2020.

RG&E proposes to include language in its electric and gas tariffs specifying that the Company shall provide the prospective tenant and landlord or other authorized person of a prospective residential rental premises the total electric and/or gas charges incurred during the life at such premises, or the preceding two-year period of tenancy, whichever is shorter, within ten days of receipt of the written request, at no cost to the requestor. The proposed amendments have an effective date of July 1, 2020.

The full text of the proposals and the full record of the proceeding may be reviewed online at the Department of Public Service web page: www.dps.ny.gov. The Commission may adopt, reject or modify, in whole or in part, the action proposed and may resolve related matters.

Text of proposed rule and any required statements and analyses may be obtained by filing a Document Request Form (F-96) located on our website <http://www.dps.ny.gov/f96dir.htm>. For questions, contact: John Pitucci, Public Service Commission, 3 Empire State Plaza, Albany, New York 12223-1350, (518) 486-2655, email: john.pitucci@dps.ny.gov

Data, views or arguments may be submitted to: Michelle L. Phillips, Secretary, Public Service Commission, 3 Empire State Plaza, Albany, New York 12223-1350, (518) 474-6530, email: secretary@dps.ny.gov

Public comment will be received until: 60 days after publication of this notice.

Regulatory Impact Statement, Regulatory Flexibility Analysis, Rural Area Flexibility Analysis and Job Impact Statement

Statements and analyses are not submitted with this notice because the proposed rule is within the definition contained in section 102(2)(a)(ii) of the State Administrative Procedure Act.

(20-M-0029SP8)

HEARINGS SCHEDULED FOR PROPOSED RULE MAKINGS

Agency I.D. No.	Subject Matter	Location—Date—Time
Education Department		
EDU-11-20-00013-P	Special education impartial hearing officers and the special education due process system procedures	1411 Broadway, New York, NY—May 18, 2020, 10:00 a.m. ACCES/VR, 80 Wolf Rd., Suite 200, Albany, NY—June 11, 2020, 10:00 a.m. Monroe 2—Orleans BOCES, 160 Wallace Way, Bldg. 9, Rochester, NY—June 11, 2020, 10:00 a.m.
Environmental Conservation, Department of		
ENV-05-20-00001-P	Use of ultra low sulfur diesel fuel and best available retrofit technology for heavy duty vehicles	Department of Environmental Conservation, 625 Broadway, Public Assembly Rm. 129A/B, Albany, NY—April 10, 2020, 11:00 a.m.
ENV-05-20-00002-P	Sulfur-in fuel limitations	Department of Environmental Conservation, 625 Broadway, Public Assembly Rm. 129A/B, Albany, NY—April 10, 2020, 11:00 a.m.
ENV-06-20-00018-P	Repeal and replacement of 6 NYCRR Part 230 gasoline dispensing sites and transport vehicles	Department of Environmental Conservation, 625 Broadway, Public Assembly Rm. 129A/B, Albany, NY—April 14, 2020, 11:00 a.m. Department of Transportation, One Hunter's Point Plaza, 47-40 21st St., Rm. 834, Long Island City, NY—April 15, 2020, 11:00 a.m. Department of Environmental Conservation, 6274 Avon-Lima Rd., Rtes. 5 and 20, Conference Rm., Avon, NY—April 16, 2020, 11:00 a.m.
ENV-06-20-00019-P	Consumer products	Department of Environmental Conservation, 625 Broadway, Public Assembly Rm. 129A/B, Albany, NY—April 14, 2020, 11:00 a.m. Department of Transportation, One Hunter's Point Plaza, 47-40 21st St., Rm. 834, Long Island City, NY—April 15, 2020, 11:00 a.m. Department of Environmental Conservation, 6274 Avon-Lima Rd., Rtes. 5 and 20, Conference Rm., Avon, NY—April 16, 2020, 11:00 a.m.
ENV-06-20-00020-P	New source review requirements for proposed new major facilities and major modifications to existing facilities	Department of Environmental Conservation, 625 Broadway, Public Assembly Rm. 129A/B, Albany, NY—April 14, 2020, 11:00 a.m. Department of Transportation, One Hunter's Point Plaza, 47-40 21st St., Rm. 834, Long Island City, NY—April 15, 2020, 11:00 a.m. Department of Environmental Conservation, 6274 Avon-Lima Rd., Rtes. 5 and 20, Conference Rm., Avon, NY—April 16, 2020, 11:00 a.m.
Long Island Power Authority		
LPA-09-20-00009-P	LIPA's tariff for buy-back service (Service Classification No. 11)	Rose Caracappa Auditorium, William H Rogers Bldg. #20, 725 Veterans Memorial Hwy., Smithtown, NY—May 4, 2020, 10:00 a.m. Long Island Power Authority, 333 Earle Ovington Blvd., Uniondale, NY—May 4, 2020, 2:00 p.m.
LPA-09-20-00010-P	To update and implement latest requirements for ESCOs proposing to do business within the authority's service territory	Rose Caracappa Auditorium, William H Rogers Bldg. #20, 725 Veterans Memorial Hwy., Smithtown, NY—May 4, 2020, 10:00 a.m.

LPA-09-20-000011-P	The modification of service classification No. 13 - Negotiated Contracts	<p>Long Island Power Authority, 333 Earle Ovington Blvd., Uniondale, NY—May 4, 2020, 2:00 p.m.</p> <p>Rose Caracappa Auditorium, William H Rogers Bldg. #20, 725 Veterans Memorial Hwy., Smithtown, NY—May 4, 2020, 10:00 a.m.</p>
LPA-09-20-000012-P	The smart grid small generator interconnection procedures	<p>Long Island Power Authority, 333 Earle Ovington Blvd., Uniondale, NY—May 4, 2020, 2:00 p.m.</p> <p>Rose Caracappa Auditorium, William H Rogers Bldg. #20, 725 Veterans Memorial Hwy., Smithtown, NY—May 4, 2020, 10:00 a.m.</p>
LPA-09-20-000013-P	The Long Island choice provisions of the authority's tariff	<p>Long Island Power Authority, 333 Earle Ovington Blvd., Uniondale, NY—May 4, 2020, 2:00 p.m.</p> <p>Rose Caracappa Auditorium, William H Rogers Bldg. #20, 725 Veterans Memorial Hwy., Smithtown, NY—May 4, 2020, 10:00 a.m.</p> <p>Long Island Power Authority, 333 Earle Ovington Blvd., Uniondale, NY—May 4, 2020, 2:00 p.m.</p>

ACTION PENDING INDEX

The action pending index is a list of all proposed rules which are currently being considered for adoption. A proposed rule is added to the index when the notice of proposed rule making is first published in the *Register*. A proposed rule is removed from the index when any of the following occur: (1) the proposal is adopted as a permanent rule; (2) the proposal is rejected and withdrawn from consideration; or (3) the proposal's notice expires.

Most notices expire in approximately 12 months if the agency does not adopt or reject the proposal within that time. The expiration date is printed in the second column of the action pending index. Some notices, however, never expire. Those notices are identified by the word "exempt" in the second column. Actions pending for one year or more are preceded by an asterisk(*).

For additional information concerning any of the proposals

listed in the action pending index, use the identification number to locate the text of the original notice of proposed rule making. The identification number contains a code which identifies the agency, the issue of the *Register* in which the notice was printed, the year in which the notice was printed and the notice's serial number. The following diagram shows how to read identification number codes.

Agency code	Issue number	Year published	Serial number	Action Code
AAM	01	12	00001	P

Action codes: P — proposed rule making; EP — emergency and proposed rule making (expiration date refers to proposed rule); RP — revised rule making

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
AGING, OFFICE FOR THE			
AGE-34-19-00014-P	08/20/20	Limits on Administrative Expenses and Executive Compensation	To bring this rule into compliance with current law in New York State
AGRICULTURE AND MARKETS, DEPARTMENT OF			
AAM-12-20-00006-P	03/25/21	Calibrating and testing of certain weights and measures standards and devices.	To allow the Dept. to increase the fees it charges in calibrating and testing certain weights & measures standards and devices.
ALCOHOLISM AND SUBSTANCE ABUSE SERVICES, OFFICE OF			
ASA-10-20-00002-P	03/11/21	Credentialing of addiction professionals	Outlines the regulatory requirements for persons seeking credentialing as an addiction professional
AUDIT AND CONTROL, DEPARTMENT OF			
AAC-07-20-00012-P	02/18/21	Approval of contracts made by MTA and the NYCTA	Modify existing time frames for the approval of MTA and NYCTA contracts to conform with the MTA Reform and Traffic Mobility Act
BRIDGE AUTHORITY, NEW YORK STATE			
SBA-01-20-00004-P	exempt	A proposal to amend the NYS Bridge Authority Toll Schedule.	To amend toll schedule for vehicular bridges controlled by the NYS Bridge Authority in order to provide additional revenue.
SBA-01-20-00005-P	03/09/21	Toll collection and violations.	To amend toll collection procedures and implement toll violation enforcement on NYSBA bridges.
CHILDREN AND FAMILY SERVICES, OFFICE OF			
*CFS-51-18-00010-RP	03/18/20	Residential and non-residential services to victims of domestic violence	To conform the existing regulations to comply with state and federal laws regarding services to victims of domestic violence

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
CHILDREN AND FAMILY SERVICES, OFFICE OF			
CFS-39-19-00005-ERP	09/24/20	Implement federal statutory requirements to include enhanced background checks, annual inspections, annual training and safety	Implement federal statutory requirements to include enhanced background checks, annual inspections, annual training and safety
CFS-39-19-00007-ERP	09/24/20	Implement statutory requirements to include enhanced background checks, annual inspections, annual training and safety.	Implement statutory requirements to include enhanced background checks, annual inspections, annual training and safety.
CFS-42-19-00002-P	10/15/20	Permissible disclosure of records maintained by OCFS.	To amend existing regulations regarding the permissible disclosure of records by OCFS.
CFS-46-19-00002-P	11/12/20	Behavioral health services, elimination of room isolation and authority to operate de-escalation rooms	To implement standards for behavioral health services and the operation of de-escalation rooms and to eliminate room isolation
CFS-49-19-00001-P	12/03/20	Limits on executive compensation	To remove the soft cap limit on executive compensation
CFS-04-20-00009-P	01/28/21	Host Family Homes	The proposed regulations would establish standards for the approval and administration of host family homes.
CFS-06-20-00021-EP	02/11/21	Categories of relatives eligible to become a foster parent of a child in non-relative foster care.	Regulations are necessary to comply with legislative changes to Family Court Act section 1028-a by Ch. 434 of L. 2019.
CIVIL SERVICE, DEPARTMENT OF			
CVS-25-19-00006-P	06/18/20	Jurisdictional Classification	To classify positions in the non-competitive class.
CVS-34-19-00011-P	08/20/20	Jurisdictional Classification	To delete positions from and classify positions in the non-competitive class
CVS-42-19-00010-P	10/15/20	Jurisdictional Classification	To classify positions in the exempt class
CVS-42-19-00014-P	10/15/20	Jurisdictional Classification	To classify a position in the exempt class
CVS-42-19-00020-P	10/15/20	Jurisdictional Classification	To classify positions in the non-competitive class
CVS-42-19-00021-P	10/15/20	Jurisdictional Classification	To classify positions in the non-competitive class
CVS-42-19-00023-P	10/15/20	Jurisdictional Classification	To classify positions in the non-competitive class
CVS-42-19-00024-P	10/15/20	Jurisdictional Classification	To delete positions from and classify positions in the non-competitive class
CVS-45-19-00003-P	11/05/20	Jurisdictional Classification	To classify a position in the non-competitive class
CVS-45-19-00004-P	11/05/20	Jurisdictional Classification	To classify a position in the exempt class
CVS-45-19-00005-P	11/05/20	Jurisdictional Classification	To delete positions from and classify a position in the non-competitive class
CVS-45-19-00006-P	11/05/20	Jurisdictional Classification	To delete positions from the non-competitive class

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
CIVIL SERVICE, DEPARTMENT OF			
CVS-45-19-00007-P 11/05/20	Jurisdictional Classification	To delete a position from and classify a position in the exempt class and to delete positions from the non-competitive class
CVS-45-19-00009-P 11/05/20	Jurisdictional Classification	To delete a position from and classify a position in the exempt class
CVS-51-19-00002-P 12/17/20	Jurisdictional Classification	To delete positions from and classify positions in the non-competitive class
CVS-51-19-00003-P 12/17/20	Jurisdictional Classification	To classify a position in the exempt class
CVS-51-19-00004-P 12/17/20	Jurisdictional Classification	To classify positions in the exempt class
CVS-51-19-00005-P 12/17/20	Jurisdictional Classification	To classify positions in the exempt class
CVS-51-19-00006-P 12/17/20	Jurisdictional Classification	To classify positions in the exempt class
CVS-51-19-00007-P 12/17/20	Jurisdictional Classification	To classify positions in the non-competitive class
CVS-51-19-00008-P 12/17/20	Jurisdictional Classification	To classify positions in the non-competitive class
CVS-51-19-00009-P 12/17/20	Jurisdictional Classification	To classify positions in the non-competitive class
CVS-51-19-00010-P 12/17/20	Jurisdictional Classification	To delete positions from the non-competitive class
CVS-51-19-00011-P 12/17/20	Jurisdictional Classification	To delete a position from and classify a position in the exempt class
CVS-51-19-00012-P 12/17/20	Jurisdictional Classification	To classify positions in the non-competitive class
CVS-51-19-00013-P 12/17/20	Jurisdictional Classification	To classify positions in the non-competitive class
CVS-51-19-00014-P 12/17/20	Jurisdictional Classification	To classify positions in the non-competitive class
CVS-03-20-00003-P 01/21/21	Jurisdictional Classification	To classify positions in the non-competitive class
CVS-03-20-00004-P 01/21/21	Jurisdictional Classification	To classify a position in the exempt class
CVS-03-20-00005-P 01/21/21	Jurisdictional Classification	To delete positions from and classify positions in the non-competitive class
CVS-03-20-00006-P 01/21/21	Jurisdictional Classification	To classify a position in the non-competitive class
CVS-03-20-00007-P 01/21/21	Jurisdictional Classification	To delete positions from and classify positions in the exempt class
CVS-06-20-00001-P 02/11/21	Jurisdictional Classification	To classify a position in the non-competitive class

Action Pending Index**NYS Register/March 25, 2020**

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
CIVIL SERVICE, DEPARTMENT OF			
CVS-06-20-00002-P	02/11/21	Jurisdictional Classification	To classify a position in the exempt class
CVS-06-20-00003-P	02/11/21	Jurisdictional Classification	To classify positions in the non-competitive class
CVS-06-20-00004-P	02/11/21	Jurisdictional Classification	To classify positions in the non-competitive class
CVS-06-20-00005-P	02/11/21	Jurisdictional Classification	To delete positions from the non-competitive class
CVS-06-20-00006-P	02/11/21	Jurisdictional Classification	To delete positions from and classify positions in the non-competitive class
CVS-06-20-00007-P	02/11/21	Jurisdictional Classification	To delete a position from and classify a position in the exempt class and to delete positions from the non-competitive class
CVS-06-20-00008-P	02/11/21	Jurisdictional Classification	To delete a subheading and positions from and to classify a subheading and positions in the exempt and non-competitive classes
CORRECTION, STATE COMMISSION OF			
CMC-35-19-00002-P	08/27/20	Disciplinary and administrative segregation of inmates in special housing.	Prohibit the segregation of vulnerable inmates, and to standardize allowable uses and duration of special housing segregation.
CORRECTIONS AND COMMUNITY SUPERVISION, DEPARTMENT OF			
CCS-21-19-00014-P	05/21/20	Adolescent Offender Facilities	To reclassify two existing correctional facilities to adolescent offender facilities.
CCS-35-19-00001-P	08/27/20	Special Housing Units	Revisions have been made in order to be in compliance with new laws regarding special housing units and solitary confinement use
CCS-50-19-00002-P	12/10/20	Raise the Age	To update each correctional facility's regulation as a direct result of the Raise the Age legislation
CRIMINAL JUSTICE SERVICES, DIVISION OF			
CJS-30-19-00010-ERP	07/23/20	Use of Force	Set forth use of force reporting and recordkeeping procedures
ECONOMIC DEVELOPMENT, DEPARTMENT OF			
EDV-09-20-00007-P	03/04/21	Minority and Women-Owned Business Enterprise Program	Update the regulations of the Division of Minority and Women's Business Development
EDV-10-20-00001-P	03/11/21	Empire state entertainment diversity job training development program	To implement the administrative processes for the entertainment diversity job training development program

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
EDUCATION DEPARTMENT			
EDU-17-19-00008-P	04/23/20	To require study in language acquisition and literacy development of English language learners in certain teacher preparation	To ensure that newly certified teachers enter the workforce fully prepared to serve our ELL population
EDU-27-19-00010-P	07/02/20	Substantially Equivalent Instruction for Nonpublic School Students	Provide guidance to local school authorities to assist them in fulfilling their responsibilities under the Compulsory Ed Law
EDU-39-19-00009-RP	09/24/20	Requirements for Licensure as an Architect	To more closely align the Commissioner's Regulations with national standards for licensure as an architect.
EDU-43-19-00012-ERP	10/22/20	Annual Professional Performance Reviews of Classroom Teachers and Building Principals	Necessary to implement part YYY of chapter 59 of the Laws of 2019
EDU-52-19-00007-P	12/23/20	Update Provisions Relating to Pupil Transportation	To update provisions of the Commissioner's Regulations relating to pupil transportation
EDU-52-19-00008-EP	12/23/20	Restricted License for Clinical Laboratory Technologist	Implement chapter 227 of 2019 by adding toxicology to the category of restricted licenses for clinical laboratory technologists
EDU-52-19-00009-EP	12/23/20	Continuing Education in the Profession of Public Accountancy	Implement the provisions of chapter 413 of the Laws of 2018
EDU-52-19-00010-EP	12/23/20	Duties and responsibilities of the counsel of the State Education Department	To designate counsel as the deputy commissioner of education as specified in Education Law, section 101
EDU-04-20-00005-P	01/28/21	Residency Program Requirement for Dental Licensure	Adds dental anesthesiology to the list of accredited residency programs in a specialty of dentistry.
EDU-04-20-00006-P	01/28/21	Financial Transparency and Data Reporting Requirements for Charter Schools	To establish criteria and procedures relating to charter financial transparency reporting to ensure compliance with ESSA.
EDU-04-20-00007-P	01/28/21	Time Extension of Initial, Transitional and Provisional Certificates	To provide educators with a Time Extension after the issuance of their first Initial or Provisional certificate.
EDU-04-20-00008-EP	01/28/21	ESSA Financial Transparency Reporting Requirements.	To implement financial transparency reporting requirements of ESSA.
EDU-08-20-00007-P	02/25/21	The Practice of Psychology, Social Work and Mental Health Practitioner Professions	To implement part Y of chapter 57 of the laws of 2018
EDU-08-20-00008-P	02/25/21	The Composition of the Professional Standards and Practices Board for Teaching (PSPB)	To require the PSPB to have at least four members who are practicing, certified school building or district administrator
EDU-08-20-00009-P	02/25/21	Term Limits for Members of the Advisory Committee on Long-Term Clinical Clerkships	To remove the two term limit for committee members to most effectively advise the Board of Regents and the Department
EDU-11-20-00013-P	03/23/21	Special Education Impartial Hearing Officers and the Special Education Due Process System Procedures	To address volume of special education due process complaints in the New York City due process system
EDU-11-20-00014-P	03/18/21	Local Government Records Management	To issue a new records retention and disposition schedule LGS-1

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
EDUCATION DEPARTMENT			
EDU-11-20-00015-EP	03/18/21	Military Ballots for School District and School District Public Library Elections, Budget, and Referenda	To implement chapter 489 of the Laws of 2019 which added section 2018-d to the Education Law
EDU-11-20-00016-P	03/18/21	Eligibility Requirements for Loan Forgiveness and Grant Programs	Conforms Commissioner's regulations to the DREAM Act relating to student's eligibility for loan forgiveness and grant programs
ELECTIONS, STATE BOARD OF			
SBE-22-19-00003-EP	05/28/20	Process for Early Voting	Establishing Process for Early Voting
SBE-02-20-00002-P	01/14/21	Combine the 10 Day Post Primary Filing with the July 15th disclosure statement	This amendment combines the 10 Day Post Primary Filing with the July 15th disclosure statement that political committees file
ELECTRIC GENERATION SITING AND THE ENVIRONMENT, NEW YORK STATE BOARD ON			
EGS-09-20-00001-EP	03/04/21	Regulations Implementing Article 10 of the Public Service Law - Definitions.	To amend the regulatory definitions of "modification" and "revision" of an Article 10 application for a CECPN.
ENVIRONMENTAL CONSERVATION, DEPARTMENT OF			
ENV-18-19-00006-EP	04/30/20	Regulations governing commercial fishing and harvest of scup.	To revise regulations concerning the commercial harvest of scup in New York State waters.
ENV-27-19-00003-P	07/02/20	Black Bear hunting.	Expand bear hunting opportunities in Wildlife Management Unit 4W to reduce bear abundance.
ENV-36-19-00003-P	11/07/20	Stationary Combustion Installations	Update permit references, rule citations, monitoring, record keeping, reporting requirements, and lower emission standards.
ENV-37-19-00003-P	09/10/20	Clarifying determination of jurisdiction under the Endangered and Threatened Fish and Wildlife regulations	To improve the review of projects by removing some project types that are known not to cause harm from the review stream
ENV-38-19-00001-P	09/17/20	Animals dangerous to health or welfare	To expand the list of animals which pose a risk to health or welfare of the people of the state or indigenous fish and wildlife
ENV-43-19-00006-P	01/07/21	Class I and Class SD waters	To clarify best usages of Class I and SD waters were/are "secondary contact recreation and fishing" and "fishing," respectively
ENV-43-19-00010-P	01/06/21	Repeal and replace 6 NYCRR Part 622 and amend 6 NYCRR Part 624, Part 621 and Part 620	To incorporate procedural and legal developments, develop consistency & reflect current practice in DEC hearings
ENV-53-19-00016-P	03/09/21	Certain substances that contain hydrofluorocarbons, highly-potent greenhouse gases	Remove greenhouse gas emission sources that endanger public health and the environment
ENV-04-20-00004-EP	01/28/21	Regulations governing commercial fishing of quota managed species.	To improve efficiency, reduce waste, and increase safety in marine commercial fisheries.

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
ENVIRONMENTAL CONSERVATION, DEPARTMENT OF			
ENV-05-20-00001-P	04/10/21	Use of Ultra Low Sulfur Diesel Fuel and Best Available Retrofit Technology for Heavy Duty Vehicles	Updating to meet with statutory deadline
ENV-05-20-00002-P	04/10/21	Sulfur-in Fuel Limitations	Limit sulfur in liquid and solid fuels throughout NYS
ENV-06-20-00018-P	04/16/21	The repeal and replacement of 6 NYCRR Part 230 Gasoline Dispensing Sites and Transport Vehicles	To further reduce harmful volatile organic compounds (VOCs) emitted into the atmosphere.
ENV-06-20-00019-P	04/16/21	Consumer Products	Reduce Volatile Organic Compound emissions from Consumer Products - those products used in the average household.
ENV-06-20-00020-P	04/16/21	New Source Review requirements for proposed new major facilities and major modifications to existing facilities.	To conform to federal NSR rule requirements and related court rulings, correct typographical errors, and clarify rule language.
ENV-11-20-00002-P	03/18/21	Brookfield Trail System	To protect public safety and natural resources on the Brookfield Trail System
ENV-11-20-00004-EP	03/18/21	Management of sharks, squid and Atlantic cod	To revise regulations concerning size, trip, and possession limits for sharks, squid and Atlantic cod
ENV-12-20-00001-EP	03/25/21	Regulations governing commercial fishing of Tautog (blackfish).	To revise regulations concerning the commercial harvest of Tautog in New York State.
FINANCIAL SERVICES, DEPARTMENT OF			
*DFS-17-16-00003-P	exempt	Plan of Conversion by Commercial Travelers Mutual Insurance Company	To convert a mutual accident and health insurance company to a stock accident and health insurance company
*DFS-25-18-00006-P	exempt	Plan of Conversion by Medical Liability Mutual Insurance Company	To convert a mutual property and casualty insurance company to a stock property and casualty insurance company
DFS-33-19-00004-P	08/13/20	Minimum Standards for Form, Content, and Sale of Health Insurance, Including Standards for Full and Fair Disclosure	To set forth minimum standards for the content of health insurance identification cards.
DFS-43-19-00017-P	10/22/20	INDEPENDENT DISPUTE RESOLUTION FOR EMERGENCY SERVICES AND SURPRISE BILLS	To require notices and consumer disclosure information related to surprise bills and bills for emergency service to be provided
DFS-48-19-00002-P	11/26/20	SUPERINTENDENT'S REGULATIONS: INFORMATION SUBJECT TO CONFIDENTIAL TREATMENT	Provide rules concerning publication or disclosure of information subject to confidential treatment
DFS-51-19-00015-P	12/17/20	Minimum Standards for Form, Content and Sale of Health Insurance, Including Standards of Full and Fair Disclosure	Clarifying discriminatory activities prohibited by and coverages included within preventive care and screenings under the IL
DFS-53-19-00014-EP	12/30/20	Charges for Professional Health Services	To delay the effective date of the workers' compensation fee schedules for no-fault reimbursement.

Action Pending Index**NYS Register/March 25, 2020**

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
FINANCIAL SERVICES, DEPARTMENT OF			
DFS-01-20-00002-P	01/07/21	Certification of Compliance, Due Date	To amend the date by which Covered Entities must submit a certification of compliance, from February to April.
DFS-03-20-00011-EP	01/21/21	Valuation of Life Insurance Reserves; Recognition of the 2001 CSO Mortality Table and the 2017 CSO Mortality Table, et al	Prescribes 2001 CSO ultimate mortality for guaranteed issue policies issued on or after 1/1/20 and extends 2015 reserve relief
DFS-07-20-00015-P	02/18/21	Audited Financial Statements	To require insurers meeting a certain premium threshold to establish and maintain an internal audit function.
DFS-08-20-00011-P	02/25/21	Public Access to Department Records	To update regulations regarding public access to records of the Department of Financial Services
DFS-09-20-00008-P	03/04/21	Enterprise Risk Management and Own Risk and Solvency Assessment; Group-Wide Supervision	To authorize the Superintendent to act as the group-wide supervisor for an internationally active insurance groups
DFS-11-20-00001-P	03/18/21	Corporate Governance	To require an authorized insurer to adopt a corporate governance framework and file an annual disclosure
DFS-12-20-00002-EP	03/25/21	Reverse Mortgage Loans	To implement newly enacted Real Property Law section 280-b as soon as it goes into effect.

GAMING COMMISSION, NEW YORK STATE

SGC-01-20-00006-P	01/07/21	Permit Thoroughbred horses with digital tattoos to race in New York	To promote the integrity of racing and derive a reasonable return for government
SGC-07-20-00002-P	02/18/21	Allow claimant to void claim of lame horse	To enhance horse health and safety in thoroughbred racing
SGC-07-20-00003-P	02/18/21	Spanish 21, a blackjack variant to be offered in commercial casinos.	To set forth the practices and procedures for the operation of Spanish 21 as a casino table game.
SGC-07-20-00004-P	02/18/21	Relating to the provision of social security numbers.	Limit collection of social security numbers.
SGC-07-20-00014-P	02/18/21	Thoroughbred pick-five and pick-six wagers.	To improve the pick-five and pick-six wagers in thoroughbred racing.
SGC-11-20-00012-P	03/18/21	Joint injections in Thoroughbred racing	To improve integrity, health and safety of Thoroughbred horse racing

GENERAL SERVICES, OFFICE OF

GNS-40-19-00005-P	10/01/20	Facility Use	To add "plastic knuckles" and remove "gravity knife" from the definition of "deadly weapon"
-------------------	----------	--------------	---

HEALTH, DEPARTMENT OF

*HLT-14-94-00006-P	exempt	Payment methodology for HIV/AIDS outpatient services	To expand the current payment to incorporate pricing for services
--------------------	--------	--	---

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
HEALTH, DEPARTMENT OF			
HLT-30-19-00006-RP	07/23/20	Maximum Contaminant Levels (MCLs)	Incorporating MCLs for perfluorooctanoic acid (PFOA), perfluorooctanesulfonic acid (PFOS) and 1,4-dioxane.
HLT-36-19-00006-P	09/03/20	Limits on Executive Compensation	Removes "Soft Cap" prohibition on covered executive salaries.
HLT-40-19-00004-P	10/01/20	Drug Take Back	To implement the State's drug take back program to provide for the safe disposal of drugs
HLT-46-19-00003-P	11/12/20	Tanning Facilities	To prohibit the use of indoor tanning facilities by individuals less than 18 years of age
HLT-47-19-00008-P	11/19/20	Hospital Medical Staff - Limited Permit Holders	To repeal extra years of training required for limited permit holders to work in New York State hospitals.
HLT-47-19-00009-P	11/19/20	Empire Clinical Research Investigator Program (ECRIP)	To expand the types of & change the time frames for past research grants that qualify staff to supervise the ECRIP project.
HLT-48-19-00003-EP	11/26/20	Secondary Syringe Exchange in New York State	To reduce the spread of blood-borne pathogens, to reduce or eliminate other harms associated with contaminated syringes
HLT-51-19-00001-P	12/17/20	Women, Infants and Children (WIC) Program	To support implementation of eWIC; clarify rules for violations, penalties & hearings & conform vendor authorization criteria.
HLT-53-19-00001-P	12/30/20	Prohibition on the Sale of Electronic Liquids with Characterizing Flavors	To prohibit the sale of electronic liquids with characterizing flavors
HLT-53-19-00011-P	12/30/20	Cardiac Services	To amend existing Certificate of Need requirements for approval of adult cardiac surgery centers.
HLT-53-19-00012-P	12/30/20	Consumer Directed Personal Assistance Program Reimbursement	To establish a program to pay home care services & establish a methodology framework for the payment of FI administrative costs.
HLT-04-20-00002-P	01/28/21	Reducing Annual Tuberculosis Testing of Health Care Workers	To replace annual tuberculosis testing of health care workers.
HLT-04-20-00003-P	01/28/21	Applied Behavior Analysis	To include Applied Behavior Analysis in the Early and Periodic Screening, Diagnosis, and Treatment (EPSDT) benefit.
HLT-04-20-00011-P	01/28/21	Nursing Home Case Mix Rationalization	To authorize the Department of Health to change the case mix acuity process for all nursing homes.
HLT-04-20-00012-P	01/28/21	State Aid for Public Health Services: Counties and Cities	Clarifying State Aid payments for maintaining a cooling tower program.
HLT-08-20-00001-EP	02/25/21	Communicable Diseases Reporting and Control - Adding Severe or Novel Coronavirus	To require physicians, hospitals, nursing homes, D&TCs and clinical laboratories to report instances of severe or novel coronavirus
HLT-11-20-00003-P	03/18/21	Adult Day Health Care (ADHC)	To allow for reimbursement of real property leases in certain situations when used for operations of an ADHC program

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
HOUSING AND COMMUNITY RENEWAL, DIVISION OF			
HCR-21-19-00019-P	07/21/20	Low-Income Housing Qualified Allocation Plan	To amend definitions, threshold criteria and application scoring for the allocation of flow-income housing tax credits.
HOUSING FINANCE AGENCY			
HFA-21-19-00020-P	07/21/20	Low-Income Housing Qualified Allocation Plan	To amend definitions, threshold criteria and application scoring for the allocation of low-income housing tax credits
HUMAN RIGHTS, DIVISION OF			
HRT-27-19-00002-P	07/02/20	Gender Identity or Expression Discrimination	To conform the Division's regulations with Executive Law as amended by Chapter 8 of the Laws of New York 2019.
LABOR, DEPARTMENT OF			
LAB-46-19-00004-P	11/12/20	NY State Public Employees Occupational Safety and Health Standards	To incorporate by reference updates to OSHA standards into the NY State Public Employee Occupational Safety and Health Standards
LAB-03-20-00012-P	01/21/21	Minimum Wage Tip Allowances	Amendment of regulations governing tip allowances in the Miscellaneous Industries Wage Order
LONG ISLAND POWER AUTHORITY			
*LPA-08-01-00003-P	exempt	Pole attachments and related matters	To approve revisions to the authority's tariff
*LPA-41-02-00005-P	exempt	Tariff for electric service	To revise the tariff for electric service
*LPA-04-06-00007-P	exempt	Tariff for electric service	To adopt provisions of a ratepayer protection plan
*LPA-03-10-00004-P	exempt	Residential late payment charges	To extend the application of late payment charges to residential customers
*LPA-15-18-00013-P	exempt	Outdoor area lighting	To add an option and pricing for efficient LED lamps to the Authority's outdoor area lighting
*LPA-37-18-00013-P	exempt	The net energy metering provisions of the Authority's Tariff for Electric Service	To implement PSC guidance increasing eligibility for value stack compensation to larger projects
*LPA-37-18-00017-P	exempt	The treatment of electric vehicle charging in the Authority's Tariff for Electric Service.	To effectuate the outcome of the Public Service Commission's proceeding on electric vehicle supply equipment.
*LPA-37-18-00018-P	exempt	The treatment of energy storage in the Authority's Tariff for Electric Service.	To effectuate the outcome of the Public Service Commission's proceeding on the NY Energy Storage Roadmap.
LPA-47-19-00017-P	exempt	VDER, net metering, and community distributed generation	To update the Authority's tariff for consistency with the Public Service Commission, Department of Public Service, and CLCPA.
LPA-09-20-00009-P	exempt	LIPA's Tariff for Buy-Back Service (Service Classification No. 11)	To add a new Feed-In Tariff to supply the newly proposed Solar Communities program

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
LONG ISLAND POWER AUTHORITY			
LPA-09-20-00010-P exempt	To update and implement latest requirements for ESCOs proposing to do business within the Authority's service territory.	To strengthen customer protections and be consistent with Public Service Commission orders on retail energy markets.
LPA-09-20-00011-P exempt	The modification of Service Classification No. 13 - Negotiated Contracts	To update the Authority's Tariff and authorize a negotiated contract with the Suffolk County Department of Public Works
LPA-09-20-00012-P exempt	The Smart Grid Small Generator Interconnection Procedures	To be consistent with the New York State Standardized Interconnection Requirements
LPA-09-20-00013-P exempt	The Long Island Choice provisions of the Authority's Tariff.	To enable CCA formation within the Long Island Choice Program.
MENTAL HEALTH, OFFICE OF			
OMH-46-19-00005-P 11/12/20	Definition of "Case record, clinical record, medical record or patient record"	To clarify that the agency does not consider the provision to apply to the definition of "record" as set forth in MHL 9.01
OMH-47-19-00001-P 11/19/20	Limits on Executive Compensation	To eliminate "soft cap" restrictions on compensation.
OMH-12-20-00003-P 03/25/21	Uncompensated care funds issued pursuant to the Indigent Care Program.	To ensure the appropriate allocation of uncompensated care funds.
METROPOLITAN TRANSPORTATION AGENCY			
MTA-23-19-00006-EP 06/04/20	Debarment of contractors	To comply with Public Authorities Law, section 1279-h, which requires the MTA to establish a debarment process for contractors
MOTOR VEHICLES, DEPARTMENT OF			
MTV-07-20-00005-P 02/18/21	Electronic transmission of data by dismantlers and scrap processors	To establish procedures for the electronic transmission of data by dismantlers and scrap processors
MTV-12-20-00005-P 03/25/21	Establishes an Internet Prelicensing Course.	conforms regulation with statute.
NIAGARA FALLS WATER BOARD			
*NFW-04-13-00004-EP exempt	Adoption of Rates, Fees and Charges	To pay for the increased costs necessary to operate, maintain and manage the system, and to achieve covenants with bondholders
*NFW-13-14-00006-EP exempt	Adoption of Rates, Fees and Charges	To pay for increased costs necessary to operate, maintain and manage the system and to achieve covenants with the bondholders
OGDENSBURG BRIDGE AND PORT AUTHORITY			
*OBA-33-18-00019-P exempt	Increase in Bridge Toll Structure	To increase bridge toll revenue in order to become financially self-supporting. Our bridge operations are resulting in deficit.

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
OGDENSBURG BRIDGE AND PORT AUTHORITY			
*OBA-07-19-00019-P exempt	Increase in Bridge Toll Structure	To increase bridge toll revenue in order to become financially self-supporting. Our bridge operations are resulting in deficit
PEOPLE WITH DEVELOPMENTAL DISABILITIES, OFFICE FOR			
PDD-06-20-00009-EP 02/11/21	Creates Extended Treatment Units	To provide service and supports for individuals in crisis
POWER AUTHORITY OF THE STATE OF NEW YORK			
*PAS-01-10-00010-P exempt	Rates for the sale of power and energy	Update ECSB Programs customers' service tariffs to streamline them/include additional required information
PUBLIC SERVICE COMMISSION			
*PSC-09-99-00012-P exempt	Transfer of books and records by Citizens Utilities Company	To relocate Ogden Telephone Company's books and records out-of-state
*PSC-15-99-00011-P exempt	Electronic tariff by Woodcliff Park Corp.	To replace the company's current tariff with an electronic tariff
*PSC-12-00-00001-P exempt	Winter bundled sales service election date by Central Hudson Gas & Electric Corporation	To revise the date
*PSC-44-01-00005-P exempt	Annual reconciliation of gas costs by Corning Natural Gas Corporation	To authorize the company to include certain gas costs
*PSC-07-02-00032-P exempt	Uniform business practices	To consider modification
*PSC-36-03-00010-P exempt	Performance assurance plan by Verizon New York	To consider changes
*PSC-40-03-00015-P exempt	Receipt of payment of bills by St. Lawrence Gas Company	To revise the process
*PSC-41-03-00010-P exempt	Annual reconciliation of gas expenses and gas cost recoveries	To consider filings of various LDCs and municipalities
*PSC-41-03-00011-P exempt	Annual reconciliation of gas expenses and gas cost recoveries	To consider filings of various LDCs and municipalities
*PSC-44-03-00009-P exempt	Retail access data between jurisdictional utilities	To accommodate changes in retail access market structure or commission mandates
*PSC-02-04-00008-P exempt	Delivery rates for Con Edison's customers in New York City and Westchester County by the City of New York	To rehear the Nov. 25, 2003 order
*PSC-06-04-00009-P exempt	Transfer of ownership interest by SCS Energy LLC and AE Investors LLC	To transfer interest in Steinway Creek Electric Generating Company LLC to AE Investors LLC
*PSC-10-04-00005-P exempt	Temporary protective order	To consider adopting a protective order
*PSC-10-04-00008-P exempt	Interconnection agreement between Verizon New York Inc. and VIC-RMTS-DC, L.L.C. d/b/a Verizon Avenue	To amend the agreement

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
PUBLIC SERVICE COMMISSION			
*PSC-14-04-00008-P exempt	Submetering of natural gas service to industrial and commercial customers by Hamburg Fairgrounds	To submeter gas service to commercial customers located at the Buffalo Speedway
*PSC-15-04-00022-P exempt	Submetering of electricity by Glenn Gardens Associates, L.P.	To permit submetering at 175 W. 87th St., New York, NY
*PSC-21-04-00013-P exempt	Verizon performance assurance plan by Metropolitan Telecommunications	To clarify the appropriate performance level
*PSC-22-04-00010-P exempt	Approval of new types of electricity meters by Powell Power Electric Company	To permit the use of the PE-1250 electronic meter
*PSC-22-04-00013-P exempt	Major gas rate increase by Consolidated Edison Company of New York, Inc.	To increase annual gas revenues
*PSC-22-04-00016-P exempt	Master metering of water by South Liberty Corporation	To waive the requirement for installation of separate water meters
*PSC-25-04-00012-P exempt	Interconnection agreement between Frontier Communications of Ausable Valley, Inc., et al. and Sprint Communications Company, L.P.	To amend the agreement
*PSC-27-04-00008-P exempt	Interconnection agreement between Verizon New York Inc. and various Verizon wireless affiliates	To amend the agreement
*PSC-27-04-00009-P exempt	Interconnection agreement between Verizon New York Inc. and various Verizon wireless affiliates	To amend the agreement
*PSC-28-04-00006-P exempt	Approval of loans by Dunkirk & Fredonia Telephone Company and Cassadaga Telephone Corporation	To authorize participation in the parent corporation's line of credit
*PSC-31-04-00023-P exempt	Distributed generation service by Consolidated Edison Company of New York, Inc.	To provide an application form
*PSC-34-04-00031-P exempt	Flat rate residential service by Emerald Green Lake Louise Marie Water Company, Inc.	To set appropriate level of permanent rates
*PSC-35-04-00017-P exempt	Application form for distributed generation by Orange and Rockland Utilities, Inc.	To establish a new supplementary application form for customers
*PSC-43-04-00016-P exempt	Accounts receivable by Rochester Gas and Electric Corporation	To include in its tariff provisions for the purchase of ESCO accounts receivable
*PSC-46-04-00012-P exempt	Service application form by Consolidated Edison Company of New York, Inc.	To revise the form and make housekeeping changes
*PSC-46-04-00013-P exempt	Rules and guidelines governing installation of metering equipment	To establish uniform statewide business practices
*PSC-02-05-00006-P exempt	Violation of the July 22, 2004 order by Dutchess Estates Water Company, Inc.	To consider imposing remedial actions against the company and its owners, officers and directors
*PSC-09-05-00009-P exempt	Submetering of natural gas service by Hamlet on Olde Oyster Bay	To consider submetering of natural gas to a commercial customer

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
PUBLIC SERVICE COMMISSION			
*PSC-14-05-00006-P exempt	Request for deferred accounting authorization by Freeport Electric Inc.	To defer expenses beyond the end of the fiscal year
*PSC-18-05-00009-P exempt	Marketer Assignment Program by Consolidated Edison Company of New York, Inc.	To implement the program
*PSC-20-05-00028-P exempt	Delivery point aggregation fee by Allied Frozen Storage, Inc.	To review the calculation of the fee
*PSC-25-05-00011-P exempt	Metering, balancing and cashout provisions by Central Hudson Gas & Electric Corporation	To establish provisions for gas customers taking service under Service Classification Nos. 8, 9 and 11
*PSC-27-05-00018-P exempt	Annual reconciliation of gas costs by New York State Electric & Gas Corporation	To consider the manner in which the gas cost incentive mechanism has been applied
*PSC-41-05-00013-P exempt	Annual reconciliation of gas expenses and gas cost recoveries by local distribution companies and municipalities	To consider the filings
*PSC-45-05-00011-P exempt	Treatment of lost and unaccounted gas costs by Corning Natural Gas Corporation	To defer certain costs
*PSC-46-05-00015-P exempt	Sale of real and personal property by the Brooklyn Union Gas Company d/b/a KeySpan Energy Delivery New York and Steel Arrow, LLC	To consider the sale
*PSC-47-05-00009-P exempt	Transferral of gas supplies by Corning Natural Gas Corporation	To approve the transfer
*PSC-50-05-00008-P exempt	Long-term debt by Saratoga Glen Hollow Water Supply Corp.	To obtain long-term debt
*PSC-04-06-00024-P exempt	Transfer of ownership interests by Mirant NY-Gen LLC and Orange and Rockland Utilities, Inc.	To approve of the transfer
*PSC-06-06-00015-P exempt	Gas curtailment policies and procedures	To examine the manner and extent to which gas curtailment policies and procedures should be modified and/or established
*PSC-07-06-00009-P exempt	Modification of the current Environmental Disclosure Program	To include an attributes accounting system
*PSC-22-06-00019-P exempt	Hourly pricing by National Grid	To assess the impacts
*PSC-22-06-00020-P exempt	Hourly pricing by New York State Electric & Gas Corporation	To assess the impacts
*PSC-22-06-00021-P exempt	Hourly pricing by Rochester Gas & Electric Corporation	To assess the impacts
*PSC-22-06-00022-P exempt	Hourly pricing by Consolidated Edison Company of New York, Inc.	To assess the impacts
*PSC-22-06-00023-P exempt	Hourly pricing by Orange and Rockland Utilities, Inc.	To assess the impacts

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
PUBLIC SERVICE COMMISSION			
*PSC-24-06-00005-EP exempt	Supplemental home energy assistance benefits	To extend the deadline to Central Hudson's low-income customers
*PSC-25-06-00017-P exempt	Purchased power adjustment by Massena Electric Department	To revise the method of calculating the purchased power adjustment and update the factor of adjustment
*PSC-34-06-00009-P exempt	Inter-carrier telephone service quality standards and metrics by the Carrier Working Group	To incorporate appropriate modifications
*PSC-37-06-00015-P exempt	Procedures for estimation of customer bills by Rochester Gas and Electric Corporation	To consider estimation procedures
*PSC-37-06-00017-P exempt	Procedures for estimation of customer bills by Rochester Gas and Electric Corporation	To consider estimation procedures
*PSC-43-06-00014-P exempt	Electric delivery services by Strategic Power Management, Inc.	To determine the proper mechanism for the rate-recovery of costs
*PSC-04-07-00012-P exempt	Petition for rehearing by Orange and Rockland Utilities, Inc.	To clarify the order
*PSC-06-07-00015-P exempt	Meter reading and billing practices by Central Hudson Gas & Electric Corporation	To continue current meter reading and billing practices for electric service
*PSC-06-07-00020-P exempt	Meter reading and billing practices by Central Hudson Gas & Electric Corporation	To continue current meter reading and billing practices for gas service
*PSC-11-07-00010-P exempt	Investigation of the electric power outages by the Consolidated Edison Company of New York, Inc.	To implement the recommendations in the staff's investigation
*PSC-11-07-00011-P exempt	Storm-related power outages by Consolidated Edison Company of New York, Inc.	To modify the company's response to power outages, the timing for any such changes and other related matters
*PSC-17-07-00008-P exempt	Interconnection agreement between Verizon New York Inc. and BridgeCom International, Inc.	To amend the agreement
*PSC-18-07-00010-P exempt	Existing electric generating stations by Independent Power Producers of New York, Inc.	To repower and upgrade existing electric generating stations owned by Rochester Gas and Electric Corporation
*PSC-20-07-00016-P exempt	Tariff revisions and making rates permanent by New York State Electric & Gas Corporation	To seek rehearing
*PSC-21-07-00007-P exempt	Natural Gas Supply and Acquisition Plan by Corning Natural Gas Corporation	To revise the rates, charges, rules and regulations for gas service
*PSC-22-07-00015-P exempt	Demand Side Management Program by Consolidated Edison Company of New York, Inc.	To recover incremental program costs and lost revenue
*PSC-23-07-00022-P exempt	Supplier, transportation, balancing and aggregation service by National Fuel Gas Distribution Corporation	To explicitly state in the company's tariff that the threshold level of elective upstream transmission capacity is a maximum of 112,600 Dth/day of marketer-provided upstream capacity

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
PUBLIC SERVICE COMMISSION			
*PSC-24-07-00012-P exempt	Gas Efficiency Program by the City of New York	To consider rehearing a decision establishing a Gas Efficiency Program
*PSC-39-07-00017-P exempt	Gas bill issuance charge by New York State Electric & Gas Corporation	To create a gas bill issuance charge unbundled from delivery rates
*PSC-41-07-00009-P exempt	Submetering of electricity rehearing	To seek reversal
*PSC-42-07-00012-P exempt	Energy efficiency program by Orange and Rockland Utilities, Inc.	To consider any energy efficiency program for Orange and Rockland Utilities, Inc.'s electric service
*PSC-42-07-00013-P exempt	Revenue decoupling by Orange and Rockland Utilities, Inc.	To consider a revenue decoupling mechanism for Orange and Rockland Utilities, Inc.
*PSC-45-07-00005-P exempt	Customer incentive programs by Orange and Rockland Utilities, Inc.	To establish a tariff provision
*PSC-02-08-00006-P exempt	Additional central office codes in the 315 area code region	To consider options for making additional codes
*PSC-03-08-00006-P exempt	Rehearing of the accounting determinations	To grant or deny a petition for rehearing of the accounting determinations
*PSC-04-08-00010-P exempt	Granting of easement rights on utility property by Central Hudson Gas & Electric Corporation	To grant easement rights to Millennium Pipeline Company, L.L.C.
*PSC-04-08-00012-P exempt	Marketing practices of energy service companies by the Consumer Protection Board and New York City Department of Consumer Affairs	To consider modifying the commission's regulation over marketing practices of energy service companies
*PSC-08-08-00016-P exempt	Transfer of ownership by Entergy Nuclear Fitzpatrick LLC, et al.	To consider the transfer
*PSC-12-08-00019-P exempt	Extend the provisions of the existing electric rate plan by Rochester Gas and Electric Corporation	To consider the request
*PSC-12-08-00021-P exempt	Extend the provisions of the existing gas rate plan by Rochester Gas and Electric Corporation	To consider the request
*PSC-13-08-00011-P exempt	Waiver of commission policy and NYSEG tariff by Turner Engineering, PC	To grant or deny Turner's petition
*PSC-13-08-00012-P exempt	Voltage drops by New York State Electric & Gas Corporation	To grant or deny the petition
*PSC-23-08-00008-P exempt	Petition requesting rehearing and clarification of the commission's April 25, 2008 order denying petition of public utility law project	To consider whether to grant or deny, in whole or in part, the May 7, 2008 Public Utility Law Project (PULP) petition for rehearing and clarification of the commission's April 25, 2008 order denying petition of Public Utility Law Project
*PSC-25-08-00007-P exempt	Policies and procedures regarding the selection of regulatory proposals to meet reliability needs	To establish policies and procedures regarding the selection of regulatory proposals to meet reliability needs

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
PUBLIC SERVICE COMMISSION			
*PSC-25-08-00008-P exempt	Report on Callable Load Opportunities	Rider U report assessing callable load opportunities in New York City and Westchester County during the next 10 years
*PSC-28-08-00004-P exempt	Con Edison's procedure for providing customers access to their account information	To consider Con Edison's implementation plan and timetable for providing customers access to their account information
*PSC-31-08-00025-P exempt	Recovery of reasonable DRS costs from the cost mitigation reserve (CMR)	To authorize recovery of the DRS costs from the CMR
*PSC-32-08-00009-P exempt	The ESCO referral program for KEDNY to be implemented by October 1, 2008	To approve, reject or modify, in whole or in part, KEDNY's recommended ESCO referral program
*PSC-33-08-00008-P exempt	Noble Allegany's request for lightened regulation	To consider Noble Allegany's request for lightened regulation as an electric corporation
*PSC-36-08-00019-P exempt	Land Transfer in the Borough of Manhattan, New York	To consider petition for transfer of real property to NYPH
*PSC-39-08-00010-P exempt	RG&E's economic development plan and tariffs	Consideration of the approval of RG&E's economic development plan and tariffs
*PSC-40-08-00010-P exempt	Loans from regulated company to its parent	To determine if the cash management program resulting in loans to the parent should be approved
*PSC-41-08-00009-P exempt	Transfer of control of cable TV franchise	To determine if the transfer of control of Margaretville's cable TV subsidiary should be approved
*PSC-43-08-00014-P exempt	Annual Reconciliation of Gas Expenses and Gas Cost Recoveries	The filings of various LDCs and municipalities regarding their Annual Reconciliation of Gas Expenses and Gas Cost Recoveries
*PSC-46-08-00008-P exempt	Property transfer in the Village of Avon, New York	To consider a petition for the transfer of street lighting and attached equipment to the Village of Avon, New York
*PSC-46-08-00010-P exempt	A transfer of indirect ownership interests in nuclear generation facilities	Consideration of approval of a transfer of indirect ownership interests in nuclear generation facilities
*PSC-46-08-00014-P exempt	The attachment of cellular antennae to an electric transmission tower	To approve, reject or modify the request for permission to attach cellular antennae to an electric transmission tower
*PSC-48-08-00005-P exempt	A National Grid high efficiency gas heating equipment rebate program	To expand eligibility to customers converting from oil to natural gas
*PSC-48-08-00008-P exempt	Petition for the master metering and submetering of electricity	To consider the request of Bay City Metering, to master meter & submeter electricity at 345 E. 81st St., New York, New York
*PSC-48-08-00009-P exempt	Petition for the submetering of electricity	To consider the request of PCV/ST to submeter electricity at Peter Cooper Village & Stuyvesant Town, New York, New York
*PSC-50-08-00018-P exempt	Market Supply Charge	A study on the implementation of a revised Market Supply Charge

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
PUBLIC SERVICE COMMISSION			
*PSC-51-08-00006-P exempt	Commission's October 27, 2008 Order on Future of Retail Access Programs in Case 07-M-0458	To consider a Petition for rehearing of the Commission's October 27, 2008 Order in Case 07-M-0458
*PSC-51-08-00007-P exempt	Commission's October 27, 2008 Order in Cases 98-M-1343, 07-M-1514 and 08-G-0078	To consider Petitions for rehearing of the Commission's October 27, 2008 Order in Cases 98-M-1343, 07-M-1514 and 08-G-0078
*PSC-53-08-00011-P exempt	Use of deferred Rural Telephone Bank funds	To determine if the purchase of a softswitch by Hancock is an appropriate use of deferred Rural Telephone Bank funds
*PSC-53-08-00012-P exempt	Transfer of permanent and temporary easements at 549-555 North Little Tor Road, New City, NY	Transfer of permanent and temporary easements at 549-555 North Little Tor Road, New City, NY
*PSC-53-08-00013-P exempt	To transfer common stock and ownership	To consider transfer of common stock and ownership
*PSC-01-09-00015-P exempt	FCC decision to redefine service area of Citizens/Frontier	Review and consider FCC proposed redefinition of Citizens/Frontier service area
*PSC-02-09-00010-P exempt	Competitive classification of independent local exchange company, and regulatory relief appropriate thereto	To determine if Chazy & Westport Telephone Corporation more appropriately belongs in scenario 1 rather than scenario 2
*PSC-05-09-00008-P exempt	Revenue allocation, rate design, performance metrics, and other non-revenue requirement issues	To consider any remaining non-revenue requirement issues related to the Company's May 9, 2008 tariff filing
*PSC-05-09-00009-P exempt	Numerous decisions involving the steam system including cost allocation, energy efficiency and capital projects	To consider the long term impacts on steam rates and on public policy of various options concerning the steam system
*PSC-06-09-00007-P exempt	Interconnection of the networks between Frontier Comm. and WVT Communications for local exchange service and exchange access	To review the terms and conditions of the negotiated agreement between Frontier Comm. and WVT Comm.
*PSC-07-09-00015-P exempt	Transfer certain utility assets located in the Town of Montgomery from plant held for future use to non-utility property	To consider the request to transfer certain utility assets located in the Town of Montgomery to non-utility assets
*PSC-07-09-00017-P exempt	Request for authorization to defer the incremental costs incurred in the restoration work resulting from the ice storm	To allow the company to defer the incremental costs incurred in the restoration work resulting from the ice storm
*PSC-07-09-00018-P exempt	Whether to permit the submetering of natural gas service to an industrial and commercial customer at Cooper Union, New York, NY	To consider the request of Cooper Union, to submeter natural gas at 41 Cooper Square, New York, New York
*PSC-12-09-00010-P exempt	Charges for commodity	To charge customers for commodity costs
*PSC-12-09-00012-P exempt	Charges for commodity	To charge customers for commodity costs
*PSC-13-09-00008-P exempt	Options for making additional central office codes available in the 718/347 numbering plan area	To consider options for making additional central office codes available in the 718/347 numbering plan area
*PSC-14-09-00014-P exempt	The regulation of revenue requirements for municipal utilities by the Public Service Commission	To determine whether the regulation of revenue requirements for municipal utilities should be modified

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
PUBLIC SERVICE COMMISSION			
*PSC-16-09-00010-P exempt	Petition for the submetering of electricity	To consider the request of AMPS on behalf of Park Imperial to submeter electricity at 230 W. 56th Street, in New York, New York
*PSC-16-09-00020-P exempt	Whether SUNY's core accounts should be exempt from the mandatory assignment of local distribution company (LDC) capacity	Whether SUNY's core accounts should be exempt from the mandatory assignment of local distribution company (LDC) capacity
*PSC-17-09-00010-P exempt	Whether to permit the use of Elster REX2 solid state electric meter for use in residential and commercial accounts	To permit electric utilities in New York State to use the Elster REX2
*PSC-17-09-00011-P exempt	Whether Brooklyn Navy Yard Cogeneration Partners, L.P. should be reimbursed by Con Edison for past and future use taxes	Whether Brooklyn Navy Yard Cogeneration Partners, L.P. should be reimbursed by Con Edison for past and future use taxes
*PSC-17-09-00012-P exempt	Petition for the submetering of gas at commercial property	To consider the request of Turner Construction, to submeter natural gas at 550 Short Ave., & 10 South St., Governors Island, NY
*PSC-17-09-00014-P exempt	Benefit-cost framework for evaluating AMI programs prepared by the DPS Staff	To consider a benefit-cost framework for evaluating AMI programs prepared by the DPS Staff
*PSC-17-09-00015-P exempt	The construction of a tower for wireless antennas on land owned by National Grid	To approve, reject or modify the petition to build a tower for wireless antennas in the Town of Onondaga
*PSC-18-09-00012-P exempt	Petition for rehearing of Order approving the submetering of electricity	To consider the request of Frank Signore to rehear petition to submeter electricity at One City Place in White Plains, New York
*PSC-18-09-00013-P exempt	Petition for the submetering of electricity	To consider the request of Living Opportunities of DePaul to submeter electricity at E. Main St. located in Batavia, New York
*PSC-18-09-00017-P exempt	Approval of an arrangement for attachment of wireless antennas to the utility's transmission facilities in the City of Yonkers	To approve, reject or modify the petition for the existing wireless antenna attachment to the utility's transmission tower
*PSC-20-09-00016-P exempt	The recovery of, and accounting for, costs associated with the Companies' advanced metering infrastructure (AMI) pilots etc	To consider a filing of the Companies as to the recovery of, and accounting for, costs associated with its AMI pilots etc
*PSC-20-09-00017-P exempt	The recovery of, and accounting for, costs associated with CHG&E's AMI pilot program	To consider a filing of CHG&E as to the recovery of, and accounting for, costs associated with its AMI pilot program
*PSC-22-09-00011-P exempt	Cost allocation for Consolidated Edison's East River Repowering Project	To determine whether any changes are warranted in the cost allocation of Consolidated Edison's East River Repowering Project
*PSC-25-09-00005-P exempt	Whether to grant, deny, or modify, in whole or in part, the petition	Whether to grant, deny, or modify, in whole or in part, the petition
*PSC-25-09-00006-P exempt	Electric utility implementation plans for proposed web based SIR application process and project status database	To determine if the proposed web based SIR systems are adequate and meet requirements needed for implementation
*PSC-25-09-00007-P exempt	Electric rates for Consolidated Edison Company of New York, Inc	Consider a Petition for Rehearing filed by Consolidated Edison Company of New York, Inc

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
PUBLIC SERVICE COMMISSION			
*PSC-27-09-00011-P exempt	Interconnection of the networks between Vernon and tw telecom of new york l.p. for local exchange service and exchange access.	To review the terms and conditions of the negotiated agreement between Vernon and tw telecom of new york l.p.
*PSC-27-09-00014-P exempt	Billing and payment for energy efficiency measures through utility bill	To promote energy conservation
*PSC-27-09-00015-P exempt	Interconnection of the networks between Oriskany and tw telecom of new york l.p. for local exchange service and exchange access	To review the terms and conditions of the negotiated agreement between Oriskany and tw telecom of new york l.p.
*PSC-29-09-00011-P exempt	Consideration of utility compliance filings	Consideration of utility compliance filings
*PSC-32-09-00009-P exempt	Cost allocation for Consolidated Edison's East River Repowering Project	To determine whether any changes are warranted in the cost allocation of Consolidated Edison's East River Repowering Project
*PSC-34-09-00016-P exempt	Recommendations made in the Management Audit Final Report	To consider whether to take action or recommendations contained in the Management Audit Final Report
*PSC-34-09-00017-P exempt	To consider the transfer of control of Plattsburgh Cablevision, Inc. d/b/a Charter Communications to CH Communications, LLC	To allow the Plattsburgh Cablevision, Inc. to distribute its equity interest in CH Communications, LLC
*PSC-36-09-00008-P exempt	The increase in the non-bypassable charge implemented by RG&E on June 1, 2009	Considering exemptions from the increase in the non-bypassable charge implemented by RG&E on June 1, 2009
*PSC-37-09-00015-P exempt	Sale of customer-generated steam to the Con Edison steam system	To establish a mechanism for sale of customer-generated steam to the Con Edison steam system
*PSC-37-09-00016-P exempt	Applicability of electronic signatures to Deferred Payment Agreements	To determine whether electronic signatures can be accepted for Deferred Payment Agreements
*PSC-39-09-00015-P exempt	Modifications to the \$5 Bill Credit Program	Consideration of petition of National Grid to modify the Low Income \$5 Bill Credit Program
*PSC-39-09-00018-P exempt	The offset of deferral balances with Positive Benefit Adjustments	To consider a petition to offset deferral balances with Positive Benefit Adjustments
*PSC-40-09-00013-P exempt	Uniform System of Accounts - request for deferral and amortization of costs	To consider a petition to defer and amortize costs
*PSC-51-09-00029-P exempt	Rules and guidelines for the exchange of retail access data between jurisdictional utilities and eligible ESCOs	To revise the uniform Electronic Data Interchange Standards and business practices to incorporate a contest period
*PSC-51-09-00030-P exempt	Waiver or modification of Capital Expenditure condition of merger	To allow the companies to expend less funds for capital improvement than required by the merger
*PSC-52-09-00006-P exempt	ACE's petition for rehearing for an order regarding generator-specific energy deliverability study methodology	To consider whether to change the Order Prescribing Study Methodology
*PSC-52-09-00008-P exempt	Approval for the New York Independent System Operator, Inc. to incur indebtedness and borrow up to \$50,000,000	To finance the renovation and construction of the New York Independent System Operator, Inc.'s power control center facilities

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
PUBLIC SERVICE COMMISSION			
*PSC-05-10-00008-P exempt	Petition for the submetering of electricity	To consider the request of University Residences - Rochester, LLC to submeter electricity at 220 John Street, Henrietta, NY
*PSC-05-10-00015-P exempt	Petition for the submetering of electricity	To consider the request of 243 West End Avenue Owners Corp. to submeter electricity at 243 West End Avenue, New York, NY
*PSC-06-10-00022-P exempt	The Commission's Order of December 17, 2009 related to redevelopment of Consolidated Edison's Hudson Avenue generating facility	To reconsider the Commission's Order of December 17, 2009 related to redevelopment of the Hudson Avenue generating facility
*PSC-07-10-00009-P exempt	Petition to revise the Uniform Business Practices	To consider the RESA petition to allow rescission of a customer request to return to full utility service
*PSC-08-10-00007-P exempt	Whether to grant, deny, or modify , in whole or in part, the rehearing petition filed in Case 06-E-0847	Whether to grant, deny, or modify , in whole or in part, the rehearing petition filed in Case 06-E-0847
*PSC-08-10-00009-P exempt	Consolidated Edison of New York, Inc. energy efficiency programs	To modify approved energy efficiency programs
*PSC-12-10-00015-P exempt	Recommendations made by Staff intended to enhance the safety of Con Edison's gas operations	To require that Con Edison implement the Staff recommendations intended to enhance the safety of Con Edison's gas operations
*PSC-14-10-00010-P exempt	Petition for the submetering of electricity	To consider the request of 61 Jane Street Owners Corporation to submeter Electricity at 61 Jane Street, Manhattan, NY
*PSC-16-10-00005-P exempt	To consider adopting and expanding mobile stray voltage testing requirements	Adopt additional mobile stray voltage testing requirements
*PSC-16-10-00007-P exempt	Interconnection of the networks between TDS Telecom and PAETEC Communications for local exchange service and exchange access	To review the terms and conditions of the negotiated agreement between TDS Telecom and PAETEC Communications
*PSC-16-10-00015-P exempt	Interconnection of the networks between Frontier and Choice One Communications for local exchange service and exchange access	To review the terms and conditions of the negotiated agreement between Frontier and Choice One Communications
*PSC-18-10-00009-P exempt	Electric utility transmission right-of-way management practices	To consider electric utility transmission right-of-way management practices
*PSC-19-10-00022-P exempt	Whether National Grid should be permitted to transfer a parcel of property located at 1 Eddy Street, Fort Edward, New York	To decide whether to approve National Grid's request to transfer a parcel of vacant property in Fort Edward, New York
*PSC-22-10-00006-P exempt	Requirement that Noble demonstrate that its affiliated electric corporations operating in New York are providing safe service	Consider requiring that Noble demonstrate that its affiliated electric corporations in New York are providing safe service
*PSC-22-10-00008-P exempt	Petition for the submetering of electricity	To consider the request of 48-52 Franklin Street to submeter electricity at 50 Franklin Street, New York, New York
*PSC-24-10-00009-P exempt	Verizon New York Inc. tariff regulations relating to voice messaging service	To remove tariff regulations relating to retail voice messaging service from Verizon New York Inc.'s tariff

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
PUBLIC SERVICE COMMISSION			
*PSC-25-10-00012-P exempt	Reassignment of the 2-1-1 abbreviated dialing code	Consideration of petition to reassign the 2-1-1 abbreviated dialing code
*PSC-27-10-00016-P exempt	Petition for the submetering of electricity	To consider the request of 9271 Group, LLC to submeter electricity at 960 Busti Avenue, Buffalo, New York
*PSC-34-10-00003-P exempt	The modification of Central Hudson Gas & Electric Corporation's Enhanced Powerful Opportunities Program	The modification of Central Hudson Gas & Electric Corporation's Enhanced Powerful Opportunities Program
*PSC-34-10-00005-P exempt	Approval of a contract for \$250,000 in tank repairs that may be a financing	To decide whether to approve a contract between the parties that may be a financing of \$250,000 for tank repairs
*PSC-34-10-00006-P exempt	The modification of Central Hudson Gas & Electric Corporation's Enhanced Powerful Opportunities Program	The modification of Central Hudson Gas & Electric Corporation's Enhanced Powerful Opportunities Program
*PSC-36-10-00010-P exempt	Central Hudson's procedures, terms and conditions for an economic development plan	Consideration of Central Hudson's procedures, terms and conditions for an economic development plan
*PSC-40-10-00014-P exempt	Disposition of a state sales tax refund	To determine how much of a state sales tax refund should be retained by National Grid
*PSC-40-10-00021-P exempt	Whether to permit the submetering of natural gas service to a commercial customer at Quaker Crossing Mall	To permit the submetering of natural gas service to a commercial customer at Quaker Crossing Mall
*PSC-41-10-00018-P exempt	Amount of hourly interval data provided to Hourly Pricing customers who have not installed a phone line to read meter	Allow Central Hudson to provide less than a years worth of interval data and charge for manual meter reading for some customers
*PSC-41-10-00022-P exempt	Request for waiver of the individual living unit metering requirements at 5742 Route 5, Vernon, NY	Request for waiver of the individual living unit metering requirements at 5742 Route 5, Vernon, NY
*PSC-42-10-00011-P exempt	Petition for the submetering of electricity	To consider the request of 4858 Group, LLC to submeter electricity at 456 Main Street, Buffalo, New York
*PSC-43-10-00016-P exempt	Utility Access to Ducts, Conduit Facilities and Utility Poles	To review the complaint from Optical Communications Group
*PSC-44-10-00003-P exempt	Third and fourth stage gas rate increase by Corning Natural Gas Corporation	To consider Corning Natural Gas Corporation's request for a third and fourth stage gas rate increase
*PSC-51-10-00018-P exempt	Commission proceeding concerning three-phase electric service by all major electric utilities	Investigate the consistency of the tariff provisions for three-phase electric service for all major electric utilities
*PSC-11-11-00003-P exempt	The proposed transfer of 55.42 acres of land and \$1.4 million of revenues derived from the rendition of public service	The proposed transfer of 55.42 acres of land and \$1.4 million of revenues derived from the rendition of public service
*PSC-13-11-00005-P exempt	Exclude the minimum monthly bill component from the earnings test calculation	Exclude the minimum monthly bill component from the earnings test calculation

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
PUBLIC SERVICE COMMISSION			
*PSC-14-11-00009-P exempt	Petition for the submetering of electricity	To consider the request of 83-30 118th Street to submeter electricity at 83-30 118th Street, Kew Gardens, New York
*PSC-19-11-00007-P exempt	Utility price reporting requirements related to the Commission's "Power to Choose" website	Modify the Commission's utility electric commodity price reporting requirements related to the "Power to Choose" website
*PSC-20-11-00012-P exempt	Petition for the submetering of electricity	To consider the request of KMW Group LLC to submeter electricity at 122 West Street, Brooklyn, New York
*PSC-20-11-00013-P exempt	Determining the reasonableness of Niagara Mohawk Power Corporation d/b/a National Grid 's make ready charges	To determine if the make ready charges of Niagara Mohawk Power Corporation d/b/a National Grid are reasonable
*PSC-22-11-00004-P exempt	Whether to permit the use of the Sensus accWAVE for use in residential gas meter applications	To permit gas utilities in New York State to use the Sensus accWAVE diaphragm gas meter
*PSC-26-11-00007-P exempt	Water rates and charges	To approve an increase in annual revenues by about \$25,266 or 50%
*PSC-26-11-00009-P exempt	Petition for the submetering of electricity at commercial property	To consider the request of by Hoosick River Hardwoods, LLC to submeter electricity at 28 Taylor Avenue, in Berlin, New York
*PSC-26-11-00012-P exempt	Waiver of generation retirement notice requirements	Consideration of waiver of generation retirement notice requirements
*PSC-29-11-00011-P exempt	Petition requesting the Commission reconsider its May 19, 2011 Order and conduct a hearing, and petition to stay said Order.	To consider whether to grant or deny, in whole or in part, Windstream New York's Petition For Reconsideration and Rehearing.
*PSC-35-11-00011-P exempt	Whether to permit Consolidated Edison a waiver to commission regulations Part 226.8	Permit Consolidated Edison to conduct a inspection program in lieu of testing the accuracy of Category C meters
*PSC-36-11-00006-P exempt	To consider expanding mobile stray voltage testing requirements	Adopt additional mobile stray voltage testing requirements
*PSC-38-11-00002-P exempt	Operation and maintenance procedures pertaining to steam trap caps	Adopt modified steam operation and maintenance procedures
*PSC-38-11-00003-P exempt	Waiver of certain provisions of the electric service tariffs of Con Edison	Consideration of waiver of certain provisions of the electric service tariffs of Con Edison
*PSC-40-11-00010-P exempt	Participation of regulated local exchange carriers in the New York Data Exchange, Inc. (NYDE)	Whether to partially modify its order requiring regulated local exchange carriers' participation NYDE
*PSC-40-11-00012-P exempt	Granting of transfer of plant in-service to a regulatory asset	To approve transfer and recovery of unamortized plant investment
*PSC-42-11-00018-P exempt	Availability of telecommunications services in New York State at just and reasonable rates	Providing funding support to help ensure availability of affordable telecommunications service throughout New York
*PSC-43-11-00012-P exempt	Transfer of outstanding shares of stock	Transfer the issued outstanding shares of stock of The Meadows at Hyde Park Water-Works Corporation to HPWS, LLC

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
PUBLIC SERVICE COMMISSION			
*PSC-47-11-00007-P exempt	Remedying miscalculations of delivered gas as between two customer classes	Consideration of Con Edison's proposal to address inter-class delivery imbalances resulting from past Company miscalculations
*PSC-48-11-00007-P exempt	Transfer of controlling interests in generation facilities from Dynegy to PSEG	Consideration of the transfer of controlling interests in electric generation facilities from Dynegy to PSEG
*PSC-48-11-00008-P exempt	Petition for the submetering of electricity	To consider the request of To Better Days, LLC to submeter electricity at 37 East 4th Street, New York, New York
*PSC-01-12-00007-P exempt	The New York State Reliability Council's revisions to its rules and measurements	To adopt revisions to various rules and measurements of the New York State Reliability Council
*PSC-01-12-00008-P exempt	Transfer of real property and easements from NMPNS to NMP3	Consideration of the transfer of real property and easements from NMPNS to NMP3
*PSC-01-12-00009-P exempt	Recovery of expenses related to the expansion of Con Edison's ESCO referral program, PowerMove	To determine how and to what extent expenses related to the Expansion of Con Edison's ESCO referral program should be recovered
*PSC-11-12-00002-P exempt	Whether to grant, deny or modify, in whole or part, Hegeman's petition for a waiver of Commission policy and Con Edison tariff	Whether to grant, deny or modify, in whole or part, Hegeman's petition for a waiver of Commission policy and Con Edison tariff
*PSC-11-12-00005-P exempt	Transfer of land and water supply assets	Transfer the land and associated water supply assets of Groman Shores, LLC to Robert Groman
*PSC-13-12-00005-P exempt	Authorization to transfer certain real property	To decide whether to approve the transfer of certain real property
*PSC-19-12-00023-P exempt	Petition for approval pursuant to Section 70 for the sale of goods with an original cost of less than \$100,000	To consider whether to grant, deny or modify, in whole or in part, the petition filed by Orange and Rockland Utilities, Inc.
*PSC-21-12-00006-P exempt	Tariff filing requirements and refunds	To determine if certain agreements should be filed pursuant to the Public Service Law and if refunds are warranted
*PSC-21-12-00011-P exempt	Whether to grant, deny or modify, in whole or part, the petition for waiver of tariff Rules 8.6 and 47	Whether to grant, deny or modify, in whole or part, the petition for waiver of tariff Rules 8.6 and 47
*PSC-23-12-00007-P exempt	The approval of a financing upon a transfer to Alliance of upstream ownership interests in a generation facility	To consider the approval of a financing upon a transfer to Alliance of upstream ownership interests in a generation facility
*PSC-23-12-00009-P exempt	Over earnings sharing between rate payers and shareholders	To establish an Earnings Sharing Mechanism to be applied following the conclusion of Corning's rate plan
*PSC-27-12-00012-P exempt	Implementation of recommendations made in a Management Audit Report	To consider implementation of recommendations made in a Management Audit Report
*PSC-28-12-00013-P exempt	Exemption of reliability reporting statistics for the purpose of the 2012 Reliability Performance Mechanism	Consideration of Orange and Rockland Utilities request for exemption of the 2012 reliability reporting statistics

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
PUBLIC SERVICE COMMISSION			
*PSC-29-12-00019-P exempt	Waiver of 16 NYCRR 894.1 through 894.4	To allow the Town of Hamden to waive certain preliminary franchising procedures to expedite the franchising process.
*PSC-30-12-00010-P exempt	Waiver of 16 NYCRR 894.1 through 894.4	To allow the Town of Andes to waive certain preliminary franchising procedures to expedite the franchising process
*PSC-33-12-00009-P exempt	Telecommunications companies ability to attach to utility company poles	Consideration of Tech Valley's ability to attach to Central Hudson poles
*PSC-37-12-00009-P exempt	Proposed modification by Con Edison of its procedures to calculate estimated bills to its customers	Proposed modification by Con Edison of its procedures to calculate estimated bills to its customers
*PSC-42-12-00009-P exempt	Regulation of Gipsy Trail Club, Inc.'s long-term financing agreements	To exempt Gipsy Trail Club, Inc. from Commission regulation of its financing agreements
*PSC-45-12-00008-P exempt	Whether to grant, deny or modify, in whole or part, ESHG's petition for a waiver of Commission policy and RG&E tariff	Whether to grant, deny or modify, in whole or part, ESHG's petition for a waiver of Commission policy and RG&E tariff
*PSC-45-12-00010-P exempt	Whether to grant, deny or modify, in whole or in part the petition of Con Edison to grant easements to Millwood Fire District	Whether to grant, deny or modify, in whole or in part the petition of Con Edison to grant easements to Millwood Fire District
*PSC-50-12-00003-P exempt	Affiliate standards for Corning Natural Gas Corporation	To resolve issues raised by Corning Natural Gas Corporation in its petition for rehearing
*PSC-04-13-00006-P exempt	Expansion of mandatory day ahead hourly pricing for customers of Orange and Rockland Utilities with demands above 100 kW	To consider the expansion of mandatory day ahead hourly pricing for customers with demands above 100 kW
*PSC-04-13-00007-P exempt	Authorization to transfer certain real property.	To decide whether to approve the transfer of certain real property.
*PSC-06-13-00008-P exempt	Verizon New York Inc.'s retail service quality	To investigate Verizon New York Inc.'s retail service quality
*PSC-08-13-00012-P exempt	Filing requirements for certain Article VII electric facilities	To ensure that applications for certain electric transmission facilities contain pertinent information
*PSC-08-13-00014-P exempt	Uniform System of Accounts - Request for Accounting Authorization	To allow the company to defer an item of expense or capital beyond the end of the year in which it was incurred
*PSC-12-13-00007-P exempt	Protecting company water mains	To allow the company to require certain customers to make changes to the electrical grounding system at their homes
*PSC-13-13-00008-P exempt	The potential waiver of 16 NYCRR 255.9221(d) completion of integrity assessments for certain gas transmission lines.	To determine whether a waiver of the timely completion of certain gas transmission line integrity assessments should be granted.
*PSC-18-13-00007-P exempt	Whether Demand Energy Networks energy storage systems should be designated technologies for standby rate eligibility purposes	Whether Demand Energy Networks energy storage systems should be designated technologies for standby rate eligibility purposes

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
PUBLIC SERVICE COMMISSION			
*PSC-21-13-00003-P exempt	To consider policies that may impact consumer acceptance and use of electric vehicles	To consider and further develop policies that may impact consumer acceptance and use of electric vehicles
*PSC-21-13-00005-P exempt	To implement an abandonment of Windover's water system	To approve the implementation of abandonment of Windover's water system
*PSC-21-13-00008-P exempt	Rates of National Fuel Gas Distribution Corporation	To make the rates of National Fuel Gas Distribution Corporation temporary, subject to refund, if they are found to be excessive
*PSC-21-13-00009-P exempt	Reporting requirements for natural gas local distribution companies	To help ensure efficient and economic expansion of the natural gas system as appropriate
*PSC-22-13-00009-P exempt	On remand from New York State court litigation, determine the recovery of certain deferred amounts owed NFG by ratepayers	On remand, to determine the recovery of certain deferral amounts owed NFG from ratepayers
*PSC-23-13-00005-P exempt	Waiver of partial payment, directory database distribution, service quality reporting, and service termination regulations	Equalize regulatory treatment based on level of competition and practical considerations
*PSC-25-13-00008-P exempt	To deny, grant or modify, in whole or in part, Central Hudson's rehearing request.	To deny, grant or modify, in whole or in part, Central Hudson's rehearing request.
*PSC-25-13-00009-P exempt	Provision by utilities of natural gas main and service lines.	To help ensure efficient and economic expansion of the natural gas system as appropriate.
*PSC-25-13-00012-P exempt	To deny, grant or modify, in whole or in part, Central Hudson's rehearing request.	To deny, grant or modify, in whole or in part, Central Hudson's rehearing request.
*PSC-27-13-00014-P exempt	Columbia Gas Transmission Corporation Cost Refund	For approval for temporary waiver of tariff provisions regarding its Columbia Gas Transmission Corporation cost refund.
*PSC-28-13-00014-P exempt	Provision for the recovery and allocation of costs of transmission projects that reduce congestion on certain interfaces	To consider the recovery and allocation of costs of transmission projects that reduce congestion on certain interfaces
*PSC-28-13-00016-P exempt	The request of NGT for lightened regulation as a gas corporation.	To consider whether to approve, reject, or modify the request of Niagara gas transport of Lockport, NY LLC.
*PSC-28-13-00017-P exempt	The request by TE for waiver of regulations requiring that natural gas be odorized in certain gathering line segments	Consider the request by TE for waiver of regulations that gas be odorized in certain lines
*PSC-32-13-00009-P exempt	To consider the definition of "misleading or deceptive conduct" in the Commission's Uniform Business Practices	To consider the definition of "misleading or deceptive conduct" in the Commission's Uniform Business Practices
*PSC-32-13-00012-P exempt	To consider whether NYSEG should be required to undertake actions to protect its name and to minimize customer confusion	To consider whether NYSEG should be required to undertake actions to protect its name and to minimize customer confusion
*PSC-33-13-00027-P exempt	Waive underground facility requirements for new construction in residential subdivisions to allow for overhead electric lines.	Determine whether Chapin Lumberland, LLC subdivision will be allowed overhead electric distribution and service lines.

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
PUBLIC SERVICE COMMISSION			
*PSC-33-13-00029-P exempt	Deferral of incremental costs associated with the restoration of steam service following Superstorm Sandy.	To consider a petition by Con Edison to defer certain incremental steam system restoration costs relating to Superstorm Sandy.
*PSC-34-13-00004-P exempt	Escrow account and surcharge to fund extraordinary repairs	To approve the establishment of an escrow account and surcharge
*PSC-42-13-00013-P exempt	Failure to Provide Escrow Information	The closure of the Escrow Account
*PSC-42-13-00015-P exempt	Failure to Provide Escrow Information	The closure of the Escrow Account
*PSC-43-13-00015-P exempt	Petition for submetering of electricity	To consider the request of 2701 Kingsbridge Terrace L.P. to submeter electricity at 2701 Kingsbridge Terrace, Bronx, N.Y.
*PSC-45-13-00021-P exempt	Investigation into effect of bifurcation of gas and electric utility service on Long Island.	To consider a Petition for an investigation into effect of bifurcation of gas and electric utility service on Long Island.
*PSC-45-13-00022-P exempt	Waiver of PSC regulations, 16 NYCRR section 88.4(a)(4)	To consider a waiver of certain regulations relating to the content of an application for transmission line siting
*PSC-45-13-00023-P exempt	Waiver of PSC regulations, 16 NYCRR section 88.4(a)(4).	To consider a waiver of certain regulations relating to the content of an application for transmission line siting
*PSC-45-13-00024-P exempt	Waiver of PSC regulations, 16 NYCRR section 88.4(a)(4); waiver of filing deadlines.	To consider a waiver of certain regulations relating to the content of an application for transmission line siting
*PSC-45-13-00025-P exempt	Waiver of PSC regulations, 16 NYCRR section 88.4(a)(4).	To consider a waiver of certain regulations relating to the content of an application for transmission line siting
*PSC-47-13-00009-P exempt	Petition for submetering of electricity.	To consider the request of Hegeman Avenue Housing L.P. to submeter electricity at 39 Hegeman Avenue, Brooklyn, N.Y.
*PSC-47-13-00012-P exempt	Conditioning, restricting or prohibiting the purchase of services by NYSEG and RG&E from certain affiliates.	Consideration of conditioning, restricting or prohibiting the purchase of services by NYSEG and RG&E from certain affiliates.
*PSC-49-13-00008-P exempt	Authorization to transfer all of Crystal Water Supply Company, Inc. stocks to Essel Infra West Inc.	To allow Crystal Water Supply Company, Inc to transfer all of its issued and outstanding stocks to Essel Infra West Inc.
*PSC-51-13-00009-P exempt	Consolidated Edison proposing to use data from a test period ending September 30, 2013 to support its next rate filing.	To ensure there is a reasonable basis for data submitted in support of a request for a change in rates.
*PSC-51-13-00010-P exempt	Consolidated Edison proposing to use data from a test period ending September 30, 2013 to support its next rate filing.	To ensure there is a reasonable basis for data submitted in support of a request for a change in rates.
*PSC-51-13-00011-P exempt	Consolidated Edison proposing to use data from a test period ending September 30, 2013 to support its next rate filing.	To ensure there is a reasonable basis for data submitted in support of a request for a change in rates.
*PSC-52-13-00012-P exempt	The development of reliability contingency plan(s) to address the potential retirement of Indian Point Energy Center (IPEC).	To address the petition for rehearing and reconsideration/motion for clarification of the IPEC reliability contingency plan(s).

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
PUBLIC SERVICE COMMISSION			
*PSC-52-13-00015-P exempt	To enter into a loan agreement with the banks for up to an amount of \$94,000.	To consider allowing Knolls Water Company to enter into a long-term loan agreement.
*PSC-05-14-00010-P exempt	The New York State Reliability Council's revisions to its rules and measurements	To adopt revisions to various rules and measurements of the New York State Reliability Council
*PSC-07-14-00008-P exempt	Petition for submetering of electricity	To consider the request of Greater Centennial Homes HDfC, Inc. to submeter electricity at 102, 103 and 106 W 5th Street, et al.
*PSC-07-14-00012-P exempt	Water rates and charges	Implementation of Long-Term Water Supply Surcharge to recover costs associated with the Haverstraw Water Supply Project
*PSC-08-14-00015-P exempt	Verizon New York Inc.'s service quality and Customer Trouble Report Rate (CTRR) levels at certain central office entities	To improve Verizon New York Inc.'s service quality and the Customer Trouble Report Rate levels at certain central office entities
*PSC-10-14-00006-P exempt	Actions to facilitate the availability of ESCO value-added offerings, ESCO eligibility and ESCO compliance	To facilitate ESCO value-added offerings and to make changes to ESCO eligibility and to ensure ESCO compliance
*PSC-11-14-00003-P exempt	Provision for the recovery and allocation of costs of transmission projects that reduce congestion on certain interfaces	To consider the recovery and allocation of costs of transmission projects that reduce congestion on certain interfaces
*PSC-16-14-00014-P exempt	Whether to order NYSEG to provide gas service to customers when an expanded CPCN is approved and impose PSL 25-a penalties.	To order gas service to customers in the Town of Plattsburgh after approval of a town wide CPCN and to impose penalties.
*PSC-16-14-00015-P exempt	Whether Central Hudson should be permitted to defer obligations of the Order issued on October 18, 2013 in Case 13-G-0336.	Consideration of the petition by Central Hudson to defer reporting obligations of the October 18, 2013 Order in Case 13-G-0336
*PSC-17-14-00003-P exempt	Con Edison's Report on its 2013 performance under the Electric Service Reliability Performance Mechanism	Con Edison's Report on its 2013 performance under the Electric Service Reliability Performance Mechanism
*PSC-17-14-00004-P exempt	To consider certain portions of petitions for rehearing, reconsideration and/or clarification	To consider certain portions of petitions for rehearing, reconsideration and/or clarification
*PSC-17-14-00007-P exempt	To consider petitions for rehearing, reconsideration and/or clarification	To consider petitions for rehearing, reconsideration and/or clarification
*PSC-17-14-00008-P exempt	To consider certain portions of petitions for rehearing, reconsideration and/or clarification	To consider certain portions of petitions for rehearing, reconsideration and/or clarification
*PSC-19-14-00014-P exempt	Market Supply Charge	To make tariff revisions to the Market Supply Charge for capacity related costs
*PSC-19-14-00015-P exempt	Whether to permit the use of the Sensus accuWAVE for use in residential and commercial gas meter applications	To permit gas utilities in New York State to use the Sensus accuWAVE 415TC gas meter
*PSC-22-14-00013-P exempt	Petition to transfer and merge systems, franchises and assets.	To consider the Comcast and Time Warner Cable merger and transfer of systems, franchises and assets.

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
PUBLIC SERVICE COMMISSION			
*PSC-23-14-00010-P exempt	Whether to permit the use of the GE Dresser Series B3-HPC 11M-1480 rotary gas met for use in industrial gas meter applications	To permit gas utilities in New York State to use the GE Dresser Series B3-HPC 11M-1480 rotary gas meter
*PSC-23-14-00014-P exempt	Waiver of the negative revenue adjustment associated with KEDLI's 2013 Customer Satisfaction Performance Metric	Consideration of KEDLI's waiver request pertaining to its 2013 performance under its Customer Satisfaction Metric
*PSC-24-14-00005-P exempt	To examine LDC's performance and performance measures.	To improve gas safety performance.
*PSC-26-14-00013-P exempt	Waiver of RG&E's tarified definition of emergency generator.	To consider waiver of RG&E's tarified definition of emergency generator.
*PSC-26-14-00020-P exempt	New electric utility backup service tariffs and standards for interconnection may be adopted.	To encourage development of microgrids that enhance the efficiency, safety, reliability and resiliency of the electric grid.
*PSC-26-14-00021-P exempt	Consumer protections, standards and protocols pertaining to access to customer data may be established.	To balance the need for the information necessary to support a robust market with customer privacy concerns.
*PSC-28-14-00014-P exempt	Petition to transfer systems, franchises and assets.	To consider the Comcast and Charter transfer of systems, franchise and assets.
*PSC-30-14-00023-P exempt	Whether to permit the use of the Sensus iPERL Fire Flow Meter.	Pursuant to 16 NYCRR Part 500.3 , it is necessary to permit the use of the Sensus iPERL Fire Flow Meter.
*PSC-30-14-00026-P exempt	Petition for a waiver to master meter electricity.	Considering the request of Renaissance Corporation of to master meter electricity at 100 Union Drive,Albany, NY.
*PSC-31-14-00004-P exempt	To transfer 100% of the issued and outstanding stock from Vincent Cross to Bonnie and Michael Cross	To transfer 100% of the issued and outstanding stock from Vincent Cross to Bonnie and Michael Cross
*PSC-32-14-00012-P exempt	Whether to grant or deny, in whole or in part, the Connect New York Coalition's petition	To consider the Connect New York Coalition's petition seeking a formal investigation and hearings
*PSC-35-14-00004-P exempt	Regulation of a proposed electricity generation facility located in the Town of Brookhaven, NY	To consider regulation of a proposed electricity generation facility located in the Town of Brookhaven, NY
*PSC-35-14-00005-P exempt	Whether to permit the use of the Sensus iConA electric meter	Pursuant to 16 NYCRR Parts 92 and 93, Commission approval is necessary to permit the use of the Sensus iConA electric meter
*PSC-36-14-00009-P exempt	Modification to the Commission's Electric Safety Standards.	To consider revisions to the Commission's Electric Safety Standards.
*PSC-38-14-00003-P exempt	Whether to approve, reject or modify, in whole or in part a time-sensitive rate pilot program.	Whether to approve, reject or modify, in whole or in part a time-sensitive rate pilot program.
*PSC-38-14-00004-P exempt	The study and petition of Con Edison regarding use, accounting and ratemaking treatment for 11-23 and 2-28 Hudson Ave. Brooklyn.	The study and petition of Con Edison regarding use, accounting and ratemaking treatment for 11-23 and 2-28 Hudson Ave. Brooklyn.

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
PUBLIC SERVICE COMMISSION			
*PSC-38-14-00005-P exempt	Action on the report and petition of Con Edison regarding the Storm Hardening and Resiliency Collaborative, Phase 2.	Action on the report and petition of Con Edison regarding the Storm Hardening and Resiliency Collaborative, Phase 2.
*PSC-38-14-00007-P exempt	Whether to expand Con Edison's low income program to include Medicaid recipients.	Whether to expand Con Edison's low income program to include Medicaid recipients.
*PSC-38-14-00008-P exempt	The study and petition of Con Edison regarding use, accounting and ratemaking treatment for 11-23 and 2-28 Hudson Ave. Brooklyn.	The study and petition of Con Edison regarding use, accounting and ratemaking treatment for 11-23 and 2-28 Hudson Ave. Brooklyn.
*PSC-38-14-00010-P exempt	Inter-carrier telephone service quality standard and metrics and administrative changes.	To review recommendations from the Carrier Working Group and incorporate appropriate modifications to the existing Guidelines.
*PSC-38-14-00012-P exempt	Action on the report and petition of Con Edison regarding the Storm Hardening and Resiliency Collaborative, Phase 2.	Action on the report and petition of Con Edison regarding the Storm Hardening and Resiliency Collaborative, Phase 2.
*PSC-39-14-00020-P exempt	Whether to permit the use of the Mueller Systems 400 Series and 500 Series of water meters	Pursuant to 16 NYCRR section 500.3, whether to permit the use of the Mueller Systems 400, and 500 Series of water meters
*PSC-40-14-00008-P exempt	To consider granting authorization for Buy Energy Direct to resume marketing to residential customers.	To consider granting authorization for Buy Energy Direct to resume marketing to residential customers.
*PSC-40-14-00009-P exempt	Whether to permit the use of the Itron Open Way Centron Meter with Hardware 3.1 for AMR and AMI functionality.	Pursuant to 16 NYCRR Parts 93, is necessary to permit the use of the Itron Open Way Centron Meter with Hardware 3.1.
*PSC-40-14-00011-P exempt	Late Payment Charge.	To modify Section 7.6 - Late Payment Charge to designate a specific time for when a late payment charge is due.
*PSC-40-14-00013-P exempt	Regulation of a proposed natural gas pipeline and related facilities located in the Town of Ticonderoga, NY.	To consider regulation of a proposed natural gas pipeline and related facilities located in the Town of Ticonderoga, NY.
*PSC-40-14-00014-P exempt	Waiver of 16 NYCRR Sections 894.1 through 894.4(b)(2)	To allow the Town of Goshen, NY, to waive certain preliminary franchising procedures to expedite the franchising process.
*PSC-40-14-00015-P exempt	Late Payment Charge.	To modify Section 6.6 - Late Payment Charge to designate a specific time for when a late payment charge is due.
*PSC-42-14-00003-P exempt	Annual Reconciliation of Gas Expenses and Gas Cost Recoveries	The filings of various LDCs and municipalities regarding their Annual Reconciliation of Gas Expenses and Gas Cost Recoveries
*PSC-42-14-00004-P exempt	Winter Bundled Sales Service Option	To modify SC-11 to remove language relating to fixed storage charges in the determination of the Winter Bundled Sales charge
*PSC-48-14-00014-P exempt	Considering the recommendations contained in Staff's electric outage investigation report for MNRR, New Haven Line.	To consider the recommendations contained in Staff's electric outage investigation report for MNRR, New Haven Line.

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
PUBLIC SERVICE COMMISSION			
*PSC-52-14-00019-P exempt	Petition for a waiver to master meter electricity.	Considering the request of 614 South Crouse Avenue, LLC to master meter electricity at 614 South Crouse Avenue, Syracuse, NY..
*PSC-01-15-00014-P exempt	State Universal Service Fund Disbursements	To consider Edwards Telephone Company's request for State Universal Service Fund disbursements
*PSC-08-15-00010-P exempt	Request pertaining to the lawfulness of National Grid USA continuing its summary billing program.	To grant, deny, or modify URAC Rate Consultants' request that National Grid cease its summary billing program.
*PSC-10-15-00007-P exempt	Notification concerning tax refunds	To consider Verizon New York Inc.'s partial rehearing or reconsideration request regarding retention of property tax refunds
*PSC-10-15-00008-P exempt	Whether to waive Policy on Test Periods in Major Rate Proceedings and provide authority to file tariff changes	Whether to waive Policy on Test Periods in Major Rate Proceedings and provide authority to file tariff changes
*PSC-13-15-00024-P exempt	Whether Leatherstocking should be permitted to recover a shortfall in earnings	To decide whether to approve Leatherstocking's request to recover a shortfall in earnings
*PSC-13-15-00026-P exempt	Whether to permit the use of the Sensus Smart Point Gas AMR/AMI product	To permit the use of the Sensus Smart Point Gas AMR/AMI product
*PSC-13-15-00027-P exempt	Whether to permit the use of the Measurlogic DTS 310 electric submeter	To permit the use of the Measurlogic DTS 310 submeter
*PSC-13-15-00028-P exempt	Whether to permit the use of the SATEC EM920 electric meter	To permit necessary to permit the use of the SATEC EM920 electric meter
*PSC-13-15-00029-P exempt	Whether to permit the use the Triacta Power Technologies 6103, 6112, 6303, and 6312 electric submeters	To permit the use of the Triacta submeters
*PSC-17-15-00007-P exempt	To consider the petition of Leatherstocking Gas Company, LLC seeking authority to issue long-term debt of \$2.75 million	To consider the petition of Leatherstocking Gas Company, LLC seeking authority to issue long-term debt of \$2.75 million
*PSC-18-15-00005-P exempt	Con Edison's Report on its 2014 performance under the Electric Service Reliability Performance Mechanism	Con Edison's Report on its 2014 performance under the Electric Service Reliability Performance Mechanism
*PSC-19-15-00011-P exempt	Gas Safety Performance Measures and associated negative revenue adjustments	To update the performance measures applicable to KeySpan Gas East Corporation d/b/a National Grid
*PSC-22-15-00015-P exempt	To consider the request for waiver of the individual residential unit meter requirements and 16 NYCRR 96.1(a)	To consider the request for waiver of the individual residential unit meter requirements and 16 NYCRR 96.1(a)
*PSC-23-15-00005-P exempt	The modification of New York American Water's current rate plan	Whether to adopt the terms of the Joint Proposal submitted by NYAW and DPS Staff
*PSC-23-15-00006-P exempt	The modification of New York American Water's current rate plan	Whether to adopt the terms of the Joint Proposal submitted by NYAW and DPS Staff
*PSC-25-15-00008-P exempt	Notice of Intent to Submeter electricity.	To consider the request of 165 E 66 Residences, LLC to submeter electricity at 165 East 66th Street, New York, New York.

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
PUBLIC SERVICE COMMISSION			
*PSC-29-15-00025-P exempt	Joint Petition for authority to transfer real property located at 624 West 132nd Street, New York, NY	Whether to authorize the proposed transfer of real property located at 624 West 132nd Street, New York, NY
*PSC-32-15-00006-P exempt	Development of a Community Solar Demonstration Project.	To approve the development of a Community Solar Demonstration Project.
*PSC-33-15-00009-P exempt	Remote net metering of a demonstration community net metering program.	To consider approval of remote net metering of a demonstration community net metering program.
*PSC-33-15-00012-P exempt	Remote net metering of a Community Solar Demonstration Project.	To consider approval of remote net metering of a Community Solar Demonstration Project.
*PSC-34-15-00021-P exempt	Petition by NYCOM requesting assistance with obtaining information on CLECs and ESCOs	To consider the petition by NYCOM requesting assistance with obtaining information on CLECs and ESCOs
*PSC-35-15-00014-P exempt	Consideration of consequences against Light Power & Gas, LLC for violations of the UBP	To consider consequences against Light Power & Gas, LLC for violations of the UBP
*PSC-37-15-00007-P exempt	Submetered electricity	To consider the request of 89 Murray Street Ass. LLC, for clarification of the submetering order issued December 20, 2007
*PSC-40-15-00014-P exempt	Whether to permit the use of the Open Way 3.5 with cellular communications	To consider the use of the Open Way 3.5 electric meter, pursuant to 16 NYCRR Parts 92 and 93
*PSC-42-15-00006-P exempt	Deferral of incremental expenses associated with NERC's new Bulk Electric System (BES) compliance requirements approved by FERC.	Consideration of Central Hudson's request to defer incremental expenses associated with new BES compliance requirements.
*PSC-44-15-00028-P exempt	Deferral of incremental expenses associated with new compliance requirements	Consideration of Central Hudson's request to defer incremental expenses associated with new compliance requirements
*PSC-47-15-00013-P exempt	Whitepaper on Implementing Lightened Ratemaking Regulation.	Consider Whitepaper on Implementing Lightened Ratemaking Regulation.
*PSC-48-15-00011-P exempt	Proposal to retire Huntley Units 67 and 68 on March 1, 2016.	Consider the proposed retirement of Huntley Units 67 and 68.
*PSC-50-15-00006-P exempt	The reduction of rates.	To consider the reduction of rates charged by Independent Water Works, Inc.
*PSC-50-15-00009-P exempt	Notice of Intent to submeter electricity.	To consider the request to submeter electricity at 31-33 Lincoln Road and 510 Flatbush Avenue, Brooklyn, New York.
*PSC-51-15-00010-P exempt	Modification of the EDP	To consider modifying the EDP
*PSC-01-16-00005-P exempt	Proposed amendment to Section 5, Attachment 1.A of the Uniform Business Practices	To consider amendment to Section 5, Attachment 1.A of the Uniform Business Practices
*PSC-04-16-00007-P exempt	Whether Hamilton Municipal Utilities should be permitted to construct and operate a municipal gas distribution facility.	Consideration of the petition by Hamilton Municipal Utilities to construct and operate a municipal gas distribution facility.

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
PUBLIC SERVICE COMMISSION			
*PSC-04-16-00012-P exempt	Proposal to mothball three gas turbines located at the Astoria Gas Turbine Generating Station.	Consider the proposed mothball of three gas turbines located at the Astoria Gas Turbine Generating Station.
*PSC-04-16-00013-P exempt	Proposal to find that three gas turbines located at the Astoria Gas Turbine Generating Station are uneconomic.	Consider whether three gas turbines located at the Astoria Gas Turbine Generating Station are uneconomic.
*PSC-06-16-00013-P exempt	Continued deferral of approximately \$16,000,000 in site investigation and remediation costs.	To consider the continued deferral of approximately \$16,000,000 in site investigation and remediation costs.
*PSC-06-16-00014-P exempt	MEGA's proposed demonstration CCA program.	To consider MEGA's proposed demonstration CCA program.
*PSC-14-16-00008-P exempt	Resetting retail markets for ESCO mass market customers.	To ensure consumer protections with respect to residential and small non-residential ESCO customers.
*PSC-18-16-00013-P exempt	Amendments to the Uniform Business Practices of ESCOs.	To ensure consumer protection for ESCO customers.
*PSC-18-16-00014-P exempt	Amendments to the Uniform Business Practices of ESCOs.	To ensure consumer protection for ESCO customers.
*PSC-18-16-00015-P exempt	Petitions for rehearing of the Order Resetting Retail Energy Markets and Establishing Further Process.	To ensure consumer protections for ESCO customers.
*PSC-18-16-00016-P exempt	Amendments to the Uniform Business Practices of ESCOs.	To ensure consumer protection for ESCO customers.
*PSC-18-16-00018-P exempt	Amendments to the Uniform Business Practices of ESCOs.	To ensure consumer protection for ESCO customers.
*PSC-20-16-00008-P exempt	Consideration of consequences against Global Energy Group, LLC for violations of the Uniform Business Practices (UBP).	To consider consequences against Global Energy Group, LLC for violations of the Uniform Business Practices (UBP).
*PSC-20-16-00010-P exempt	Deferral and recovery of incremental expense.	To consider deferring costs of conducting leak survey and repairs for subsequent recovery.
*PSC-20-16-00011-P exempt	Enetics LD-1120 Non-Intrusive Load Monitoring Device in the Statewide Residential Appliance Metering Study.	To consider the use of the Enetics LD-1120 Non-Intrusive Load Monitoring Device.
*PSC-24-16-00009-P exempt	Petition to submeter gas service.	To consider the Petition of New York City Economic Development Corp. to submeter gas at Pier 17, 89 South Street, New York, NY.
*PSC-25-16-00009-P exempt	To delay Companies' third-party assessments of customer personally identifiable information until 2018.	To extend the time period between the Companies' third-party assessments of customer personally identifiable information.
*PSC-25-16-00025-P exempt	Acquisition of all water supply assets of Woodbury Heights Estates Water Co., Inc. by the Village of Kiryas Joel.	To consider acquisition of all water supply assets of Woodbury Heights Estates Water Co., Inc. by the Village of Kiryas Joel.
*PSC-25-16-00026-P exempt	Use of the Badger E Series Ultrasonic Cold Water Stainless Steel Meter, in residential fire service applications.	To consider the use of the Badger E Series Ultrasonic Cold Water Stainless Steel Meter in fire service applications.

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
PUBLIC SERVICE COMMISSION			
*PSC-28-16-00017-P exempt	A petition for rehearing of the Order Adopting a Ratemaking and Utility Revenue Model Policy Framework.	To determine appropriate rules for and calculation of the distributed generation reliability credit.
*PSC-29-16-00024-P exempt	Participation of NYPA customers in surcharge-funded clean energy programs.	To consider participation of NYPA customers in surcharge-funded clean energy programs.
*PSC-32-16-00012-P exempt	Benefit-Cost Analysis Handbooks.	To evaluate proposed methodologies of benefit-cost evaluation.
*PSC-33-16-00001-EP exempt	Use of escrow funds for repairs.	To authorize the use of escrow account funds for repairs.
*PSC-33-16-00005-P exempt	Exemption from certain charges for delivery of electricity to its Niagara Falls, New York facility.	Application of System Benefits Charges, Renewable Portfolio Standard charges and Clean Energy Fund surcharges.
*PSC-35-16-00015-P exempt	NYSRC's revisions to its rules and measurements	To consider revisions to various rules and measurements of the NYSRC
*PSC-36-16-00004-P exempt	Recovery of costs for installation of electric service.	To consider the recovery of costs for installation of electric service.
*PSC-40-16-00025-P exempt	Consequences pursuant to the Commission's Uniform Business Practices (UBP).	To consider whether to impose consequences on Smart One for its apparent non-compliance with Commission requirements.
*PSC-47-16-00009-P exempt	Petition to use commercial electric meters	To consider the petition of Itron, Inc. to use the Itron CP2SO and CP2SOA in commercial electric meter applications
*PSC-47-16-00010-P exempt	Standby Service rate design	To consider the report filed and the recommendations therein
*PSC-47-16-00013-P exempt	Standby Service rate design	To consider the report filed and the recommendations therein
*PSC-47-16-00014-P exempt	Standby Service rate design	To consider the report filed and the recommendations therein
*PSC-47-16-00016-P exempt	Standby Service rate design	To consider the report filed and the recommendations therein
*PSC-02-17-00010-P exempt	Implementation of the four EAMs.	To consider the implementation of EAMs for RG&E.
*PSC-02-17-00012-P exempt	Implementation of the four EAMs.	To consider the implementation of EAMs for NYSEG.
*PSC-18-17-00024-P exempt	A petition for rehearing or reconsideration of the Order Addressing Public Policy Transmission Need for AC Transmission Upgrades	To determine whether Public Policy Transmission Need/Public Policy Requirements continue to exist.
*PSC-18-17-00026-P exempt	Revisions to the Dynamic Load Management surcharge.	To consider revisions to the Dynamic Load Management surcharge.
*PSC-19-17-00004-P exempt	NYAW's request to defer and amortize, for future rate recognition, pension settlement payout losses incurred in 2016.	Consideration of NYAW's petition to defer and amortize, for future rate recognition, pension payout losses incurred in 2016.

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
PUBLIC SERVICE COMMISSION			
*PSC-20-17-00008-P exempt	Compressed natural gas as a motor fuel for diesel fueled vehicles.	To consider a report filed by National Grid NY regarding the potential for adoption of compressed natural gas as a motor fuel.
*PSC-20-17-00010-P exempt	Compressed natural gas as a motor fuel for diesel fueled vehicles.	To consider a report filed by National Grid regarding the potential for adoption of compressed natural gas as a motor fuel.
*PSC-21-17-00013-P exempt	The establishment and implementation of Earnings Adjustment Mechanisms.	To consider the establishment and implementation of Earnings Adjustment Mechanisms.
*PSC-21-17-00018-P exempt	Proposed agreement for the provision of water service by Saratoga Water Services, Inc.	To consider a waiver and approval of terms of a service agreement.
*PSC-22-17-00004-P exempt	Financial incentives to create customer savings and develop market-enabling tools, with a focus on outcomes and incentives	To consider the proposed Interconnection Survey Process and Earnings Adjustment Mechanisms
*PSC-24-17-00006-P exempt	Development of the Utility Energy Registry.	Improved data access.
*PSC-26-17-00005-P exempt	Notice of Intent to submeter electricity.	To consider the Notice of Intent to submeter electricity at 125 Waverly Street, Yonkers, New York.
*PSC-34-17-00011-P exempt	Waiver to permit Energy Cooperative of America to serve low-income customers	To consider the petition for a waiver
*PSC-37-17-00005-P exempt	Financial incentives to create customer savings and develop market-enabling tools, with a focus on outcomes and incentives.	To consider the revised Interconnection Survey Process and Earnings Adjustment Mechanisms.
*PSC-39-17-00011-P exempt	Whether to direct New York State Electric & Gas to complete electric facility upgrades at no charge to Hanehan.	To determine financial responsibility between NYSEG and Hanehan for the electric service upgrades to Hanehan.
*PSC-42-17-00010-P exempt	Petition for rehearing of negative revenue adjustment and contents of annual Performance Report.	To consider NFGD's petition for rehearing.
*PSC-48-17-00015-P exempt	Low Income customer options for affordable water bills.	To consider the Low Income Bill Discount and/or Energy Efficiency Rebate Programs.
*PSC-50-17-00017-P exempt	New Wave Energy Corp.'s petition for rehearing.	To consider the petition for rehearing filed by New Wave Energy Corp.
*PSC-50-17-00018-P exempt	Application of the Public Service Law to DER suppliers.	To determine the appropriate regulatory framework for DER suppliers.
*PSC-50-17-00019-P exempt	Transfer of utility property.	To consider the transfer of utility property.
*PSC-50-17-00021-P exempt	Disposition of tax refunds and other related matters.	To consider the disposition of tax refunds and other related matters.
*PSC-51-17-00011-P exempt	Petition for recovery of certain costs related to the implementation of a Non-Wires Alternative Project.	To consider Con Edison's petition for the recovery of costs for implementing the JFK Project.

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
PUBLIC SERVICE COMMISSION			
*PSC-04-18-00005-P exempt	Notice of intent to submeter electricity.	To consider the notice of intent of Montante/Morgan Gates Circle LLC to submeter electricity.
*PSC-05-18-00004-P exempt	Lexington Power's ZEC compliance obligation.	To promote and maintain renewable and zero-emission electric energy resources.
*PSC-06-18-00012-P exempt	To consider further proposed amendments to the original criteria to grandfathering established in the Transition Plan	To modify grandfathering criteria
*PSC-06-18-00017-P exempt	Merger of NYAW and Whitlock Farms Water Corp.	To consider the merger of NYAW and Whitlock Farms Water Company into a single corporate entity
*PSC-07-18-00015-P exempt	The accuracy and reasonableness of National Grid's billing for certain interconnection upgrades.	To consider AEC's petition requesting resolution of their billing dispute with National Grid.
*PSC-11-18-00004-P exempt	New York State Lifeline Program.	To consider TracFone's petition seeking approval to participate in Lifeline.
*PSC-13-18-00015-P exempt	Eligibility of an ESCO to market to and enroll residential customers.	To consider whether Astral should be allowed to market to and enroll residential customers following a suspension.
*PSC-13-18-00023-P exempt	Reconciliation of property taxes.	To consider NYAW's request to reconcile property taxes.
*PSC-14-18-00006-P exempt	Petition for abandonment	To consider the abandonment of Willsboro Bay Water Company's water system
*PSC-17-18-00010-P exempt	Petition for use of gas metering equipment.	To ensure that consumer bills are based on accurate measurements of gas usage.
*PSC-18-18-00009-P exempt	Transfer of control of Keene Valley Video Inc.	To ensure performance in accordance with applicable cable laws, regulations and standards and the public interest
*PSC-23-18-00006-P exempt	Whether to impose consequences on Aspiry for its non-compliance with Commission requirements.	To ensure the provision of safe and adequate energy service at just and reasonable rates.
*PSC-24-18-00013-P exempt	Implementation of program rules for Renewable Energy Standard and ZEC requirements.	To promote and maintain renewable and zero-emission electric energy resources.
*PSC-28-18-00011-P exempt	Storm Hardening Collaborative Report.	To ensure safe and adequate gas service.
*PSC-29-18-00008-P exempt	Participation in Targeted Accessibility Fund	To encourage enhanced services for low-income consumers
*PSC-29-18-00009-P exempt	Overvaluing real property tax expense recovery in water rates	To prevent unjust and unreasonable water rates
*PSC-34-18-00015-P exempt	Petition to submeter electricity.	To ensure adequate submetering equipment and energy efficiency protections are in place.
*PSC-34-18-00016-P exempt	Deferral of pre-staging and mobilization storm costs.	To ensure just and reasonable rates for ratepayers and utility recovery of unexpected, prudently incurred costs.

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
PUBLIC SERVICE COMMISSION			
*PSC-35-18-00003-P exempt	Con Edison's 2018 DSIP and BCA Handbook Update.	To continue Con Edison's transition to a modern utility serving as a Distributed System Platform Provider.
*PSC-35-18-00005-P exempt	NYSEG and RG&E's 2018 DSIP and BCA Handbook Update.	To continue NYSEG and RG&E's transition to modern utilities acting as Distributed System Platform Providers.
*PSC-35-18-00006-P exempt	National Grid's 2018 DSIP and BCA Handbook Update.	To continue National Grid's transition to a modern utility serving as a Distributed System Platform Provider.
*PSC-35-18-00008-P exempt	Central Hudson's 2018 DSIP and BCA Handbook Update.	To continue Central Hudson's transition to a modern utility serving as a Distributed System Platform Provider.
*PSC-35-18-00010-P exempt	O&R's 2018 DSIP and BCA Handbook Update.	To continue O&R's transition to a modern utility acting as a Distributed System Platform Provider.
*PSC-39-18-00005-P exempt	Participation in New York State Lifeline Program.	To encourage enhanced services for low-income customers.
*PSC-40-18-00014-P exempt	Annual Reconciliation of Gas Expenses and Gas Cost Recoveries.	To review the gas utilities' reconciliation of Gas Expenses and Gas Cost Recoveries for 2018.
*PSC-42-18-00011-P exempt	Voluntary residential beneficial electrification rate design.	To provide efficient rate design for beneficial technologies in New York State that is equitable for all residential customers.
*PSC-42-18-00013-P exempt	Petition for clarification and rehearing of the Smart Solutions Program Order.	To address the increased demand for natural gas in the Con Edison's service territory and the limited pipeline capacity.
*PSC-44-18-00016-P exempt	Petition for approval of gas metering equipment.	To ensure that customer bills are based on accurate measurements of gas usage.
*PSC-45-18-00005-P exempt	Notice of intent to submeter electricity and waiver of energy audit	To ensure adequate submetering equipment, consumer protections and energy efficiency protections are in place
*PSC-47-18-00008-P exempt	Proposed Public Policy Transmission Needs/ Public Policy Requirements, as defined under the NYISO tariff.	To identify any proposed Public Policy Transmission Needs/Public Policy Requirements for referral to the NYISO.
*PSC-01-19-00004-P exempt	Advanced Metering Infrastructure.	To determine whether Niagara Mohawk Power Corporation d/b/a National Grid should implement advanced metering infrastructure.
*PSC-01-19-00013-P exempt	Order of the Commission related to caller ID unblocking.	To require telephone companies to unblock caller ID on calls placed to the 311 municipal call center in Suffolk County.
*PSC-03-19-00002-P exempt	DPS Staff White Paper for who must be trained in 16 NYCRR Part 753 requirements and how the Commission will approve trainings.	To reduce damage to underground utility facilities by requiring certain training and approving training curricula.
*PSC-04-19-00004-P exempt	Con Edison's petition for the Gas Innovation Program and associated budget.	To pursue programs that continue service reliability and meet customer energy needs while aiding greenhouse gas reduction goals.

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
PUBLIC SERVICE COMMISSION			
*PSC-04-19-00011-P exempt	Update of revenue targets.	To ensure NYAW's rates are just and reasonable and accurately reflect the needed revenues.
*PSC-06-19-00005-P exempt	Consideration of the Joint Utilities' proposed BDP Program.	To to expand opportunities for low-income households to participate in Community Distributed Generation (CDG) projects.
*PSC-07-19-00009-P exempt	Whether to impose consequences on AAA for its non-compliance with Commission requirements.	To insure the provision of safe and adequate energy service at just and reasonable rates.
*PSC-07-19-00016-P exempt	Participation in New York State Lifeline Program.	To encourage enhanced services for low-income customers.
*PSC-09-19-00010-P exempt	Non-pipeline alternatives report recommendations.	To consider the terms and conditions applicable to gas service.
PSC-12-19-00004-P exempt	To test innovative pricing proposals on an opt-out basis.	To provide pricing structures that deliver benefits to customers and promote beneficial electrification technologies.
PSC-13-19-00010-P exempt	New Commission requirements for gas company operator qualification programs.	To make pipelines safer with improved training of workers who perform construction and repairs on natural gas facilities.
PSC-19-19-00013-P exempt	Proposed merger of three water utilities into one corporation.	To determine if the proposed merger is in the public interest.
PSC-19-19-00014-P exempt	Establishment of the regulatory regime applicable to an approximately 124 MW electric generating facility.	Consideration of a lightened regulatory regime for an approximately 124 MW electric generating facility.
PSC-19-19-00016-P exempt	Establishment of the regulatory regime applicable to an approximately 242 MW electric generating facility.	Consideration of a lightened regulatory regime for an approximately 242 MW electric generating facility.
PSC-20-19-00008-P exempt	Reporting on energy sources	To ensure accurate reporting and encourage clean energy purchases
PSC-20-19-00010-P exempt	Compensation policies for certain CHP projects	To consider appropriate rules for compensation of certain CHP resources
PSC-20-19-00015-P exempt	Establishment of the regulatory regime applicable to an approximately 105.8 MW electric generating facility	Consideration of a lightened regulatory regime for an approximately 105.8 MW electric generating facility
PSC-23-19-00005-P exempt	Proposed major rate increase in SWNY's annual base revenues of approximately \$31.5 million (or 19.8% in total revenues).	To ensure safe and adequate service at just and reasonable rates charged to customers without undue preferences.
PSC-31-19-00011-P exempt	Electric metering equipment.	To ensure that consumer bills are based on accurate measurements of electric usage.
PSC-31-19-00013-P exempt	Implementation of Statewide Energy Benchmarking.	To ensure safe and adequate service at just and reasonable rates charged to customers without undue preferences.
PSC-31-19-00015-P exempt	Proposed major rate increase in KEDNY's gas delivery revenues by \$236.8 million (13.6% increase in total revenues).	To ensure safe and adequate service at just and reasonable rates charged to customers without undue preferences.

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
PUBLIC SERVICE COMMISSION			
PSC-31-19-00016-P exempt	Proposed major rate increase in KEDLI's gas delivery revenues of approximately \$49.4 million (or 4.1% in total revenues).	To ensure safe and adequate service at just and reasonable rates charged to customers without undue preferences.
PSC-32-19-00008-P exempt	Compensation of distributed energy resources	To ensure just and reasonable rates, including compensation, for distributed energy resources
PSC-32-19-00010-P exempt	Notice of intent to submeter electricity	To ensure adequate submetering equipment and consumer protections are in place
PSC-32-19-00012-P exempt	Standby Service Rates and Buyback Service Rates	To ensure just and reasonable rates, including compensation, for distributed energy resources
PSC-32-19-00013-P exempt	Disposition of tax refunds received by New York American Water Company, Inc.	To determine the disposition of tax refunds and other related matters
PSC-34-19-00015-P exempt	Major electric rate filing.	To consider a proposed increase in RG&E's electric delivery revenues of approximately \$31.7 million (or 4.1% in total revenues).
PSC-34-19-00016-P exempt	Major gas rate filing.	To consider a proposed increase in RG&E's gas delivery revenues of approximately \$5.8 million (or 1.4% in total revenues).
PSC-34-19-00017-P exempt	Notice of intent to submeter electricity.	To ensure adequate submetering equipment and consumer protections are in place.
PSC-34-19-00018-P exempt	Major electric rate filing.	To consider a proposed increase in NYSEG's electric delivery revenues of approximately \$156.7 million (10.4% in total revenues).
PSC-34-19-00020-P exempt	Major gas rate filing.	To consider a proposed increase in NYSEG's gas delivery revenues of approximately \$6.3 million (or 1.4% in total revenues).
PSC-36-19-00009-P exempt	Minor rate filing to increase annual electric revenues.	To ensure safe and adequate service at just and reasonable rates charged to customers without undue preferences.
PSC-36-19-00011-P exempt	Minor electric rate filing to increase annual electric revenues.	To ensure safe and adequate service at just and reasonable rates charged to customers without undue preferences.
PSC-37-19-00004-P exempt	Proposed transfer of Hopewell's assets to the Town and dissolution of the company.	To determine if transfer of the water system to the Town of East Fishkill is in the public interest.
PSC-38-19-00002-P exempt	Petition to submeter electricity	To ensure adequate submetering equipment and consumer protections are in place
PSC-39-19-00018-P exempt	Petition to submeter electricity.	To ensure adequate submetering equipment and consumer protections are in place.
PSC-39-19-00020-P exempt	Initial Tariff Schedule, P.S.C. No. 1 - Water.	To ensure safe and adequate service at just and reasonable rates charged to customers without preferences.
PSC-41-19-00003-P exempt	A voluntary residential three-part rate that would include fixed, usage and demand charges.	To provide qualifying residential customers with an optional three-part rate.

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
PUBLIC SERVICE COMMISSION			
PSC-43-19-00014-P exempt	Petition for the use of electric metering equipment.	To ensure that consumer bills are based on accurate measurements of electric usage.
PSC-43-19-00015-P exempt	Modifications to the Gas Cost Factor and Daily Delivery Service Programs.	To consider a rehearing petition filed by Consolidated Edison Company of New York, Inc. and Orange and Rockland Utilities, Inc.
PSC-44-19-00003-P exempt	Proposed revisions to Standby Service Rates and Buyback Service Rates.	To ensure just and reasonable rates, including compensation, for distributed energy resources.
PSC-44-19-00004-P exempt	Notice of intent to submeter electricity.	To ensure adequate submetering equipment and consumer protections are in place.
PSC-44-19-00005-P exempt	Proposed revisions to Standby Service Rates and Buyback Service Rates.	To ensure just and reasonable rates, including compensation, for distributed energy resources.
PSC-44-19-00006-P exempt	Proposed revisions to Standby Service Rates and Buyback Service Rates.	To ensure just and reasonable rates, including compensation, for distributed energy resources.
PSC-44-19-00007-P exempt	Proposed revisions to Standby Service Rates and Buyback Service Rates.	To ensure just and reasonable rates, including compensation, for distributed energy resources.
PSC-44-19-00008-P exempt	Notice of intent to submeter electricity.	To ensure adequate submetering equipment and consumer protections are in place.
PSC-44-19-00009-P exempt	Proposed revisions to Standby Service Rates and Buyback Service Rates.	To ensure just and reasonable rates, including compensation, for distributed energy resources.
PSC-45-19-00011-P exempt	Notice of intent to submeter electricity.	To ensure adequate submetering equipment and consumer protections are in place.
PSC-45-19-00012-P exempt	Notice of intent to submeter electricity.	To ensure adequate submetering equipment and consumer protections are in place.
PSC-45-19-00013-P exempt	Notice of intent to submeter electricity.	To ensure adequate submetering equipment and consumer protections are in place.
PSC-46-19-00008-P exempt	Wappingers Falls Hydroelectric LLC's facility located in Wappingers Falls, New York.	To promote and maintain renewable electric energy resources.
PSC-46-19-00010-P exempt	To test innovative rate designs on an opt-out basis.	To implement alternative innovative rate designs intended to assess customer behaviors in response to price signals
PSC-47-19-00011-P exempt	Waiver of National Grid's code of conduct to allow for use of its name.	To determine if it is in the public interest to allow for the use of National Grid's name in the weatherization program.
PSC-47-19-00013-P exempt	Compensation of distributed energy resources.	To ensure just and reasonable rates, including compensation, for distributed energy resources.
PSC-48-19-00005-P exempt	Notice of intent to submeter electricity.	To ensure adequate submetering equipment and consumer protections are in place.
PSC-48-19-00006-P exempt	Notice of intent to submeter electricity.	To ensure adequate submetering equipment and consumer protections are in place.
PSC-48-19-00007-P exempt	Extension of the State Universal Service Fund.	To continue to provide universal service at a reasonable rate in certain service territories.

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
PUBLIC SERVICE COMMISSION			
PSC-49-19-00004-P exempt	Transfer of street lighting facilities.	To determine whether to authorize the transfer of street lighting facilities and the proper accounting for the transaction.
PSC-49-19-00005-P exempt	Sale of Street Lighting Facilities to the Town of Farmington.	To consider the transfer of street lighting facilities to the Town of Farmington.
PSC-50-19-00004-P exempt	Petition to submeter electricity and waiver of energy audit.	To ensure adequate submetering equipment, consumer protections and energy efficiency protections are in place.
PSC-50-19-00005-P exempt	Modifications and clarifications to the DCFC Per-Plug Incentive Program.	To clarify certain elements of the DCFC Per-Plug Incentive Program and consider modifications to the Program.
PSC-50-19-00006-P exempt	Compensation of and incentives for distributed energy resources.	To encourage the development of and ensure just and reasonable rates for distributed energy resources.
PSC-50-19-00007-P exempt	Participation of customers served under P.S.C. No. 12 (PASNY) in CDG projects receiving Value Stack compensation.	To encourage the development of and ensure just and reasonable rates for distributed energy resources.
PSC-52-19-00001-P exempt	SUEZ Water New York Inc.'s acquisition of 100% of Heritage Hills Water Works Corporation's assets.	To determine if the proposed acquisition is in the public interest.
PSC-52-19-00003-P exempt	Notice of intent to submeter electricity and waiver of energy audit.	To ensure adequate submetering equipment, consumer protections and energy efficiency protections are in place.
PSC-52-19-00004-P exempt	Notice of intent to submeter electricity.	To ensure adequate submetering equipment and consumer protections are in place.
PSC-52-19-00005-P exempt	Compensation of and rates for distributed energy resources.	To encourage the development of and ensure just and reasonable rates for distributed energy resources.
PSC-52-19-00006-P exempt	Authorization to defer pension settlement losses.	To address the ratemaking related to the pension settlement losses.
PSC-53-19-00003-P 12/30/20	Technical Amendments of State regulations and Administrative Corrections	To make the provision of natural gas service safer in New York State
PSC-53-19-00004-P 12/30/20	Technical Amendments of State regulations and Administrative Corrections	To make the provision of natural gas service safer in New York State.
PSC-53-19-00006-P exempt	To amend the terms to which the customer must abide when discontinuing gas service.	To ensure safe and adequate service at just and reasonable rates charged to customers without preferences.
PSC-53-19-00007-P exempt	Notice of intent to submeter electricity.	To ensure adequate submetering equipment and consumer protections are in place.
PSC-53-19-00008-P exempt	Extension of time for issuance of securities and other forms of indebtedness.	To consider an additional twelve months for the issuance of securities and other forms of indebtedness.
PSC-53-19-00009-P exempt	Transfer of street lighting facilities.	To consider whether the transfer of certain street lighting facilities is in the public interest.

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
PUBLIC SERVICE COMMISSION			
PSC-53-19-00010-P exempt	To clarify the term “customer” under Rule 28 - Special Services Performed by Company for Customer at a Charge.	To ensure safe and adequate service at just and reasonable rates charged to customers without preferences.
PSC-01-20-00007-P exempt	Proposed tariff revisions and clarifications for the summer 2020 capability period.	To have more efficient demand response programs to gain operational efficiency and shave peak demand.
PSC-01-20-00008-P exempt	Request for waiver of 16 NYCRR § 96.5(k)(3).	To consider the request for waiver of the energy audit requirement requirement per 16 NYCRR 96.5(k)(3).
PSC-01-20-00009-P exempt	Modifying RG&E’s DLM dispatch threshold to improve the Commercial System Relief Program.	To have more efficient demand response programs to gain operational efficiency and shave peak demand.
PSC-01-20-00010-P exempt	Proposed transfer of water supply assets and dissolution of the Company.	To determine whether the transfer of water supply assets to the Town of North Collins is in the public interest.
PSC-02-20-00005-P exempt	The 2020 Electric Emergency Response Plans for electric utilities subject to the provisions of PSL § 25-a	To consider the adequacy of the 2020 Electric Emergency Response Plans
PSC-02-20-00006-P exempt	The application of the earnings sharing mechanism related to a partial year period.	To consider O&R’s petition to modify the application of the earnings sharing mechanism.
PSC-03-20-00008-P exempt	Authority to issue and sell unsecured debt obligations	To consider the Company’s request for authority to issue and sell unsecured debt obligations
PSC-03-20-00009-P exempt	Changes to the Utility Energy Registry	To determine appropriate rules for data availability
PSC-03-20-00010-P exempt	Waivers of certain tariff provisions and terms of an agreement for the provision of service	Whether a proposed agreement for provision of service by Saratoga Water Services, Inc. is in the public interest
PSC-04-20-00010-P exempt	Petition for waiver of the requirements of Opinion No. 76-17 and 16 NYCRR Part 96 regarding individual metering of living units.	To consider the petition of Comunilife Woodhull HDfC for waiver of Opinion No. 76-17 and 16 NYCRR Part 96.
PSC-04-20-00014-P exempt	Transfer of the Indian Point site, nuclear waste, and decommissioning and site restoration funds from Entergy to Holtec.	To protect the public interest.
PSC-05-20-00003-P exempt	Notice of intent to submeter electricity.	To ensure adequate submetering equipment and consumer protections are in place.
PSC-05-20-00004-P exempt	A statewide Make-Ready Program that that would provide incentives to deploy EVSE&I to charge light duty electric vehicles (EV).	To deploy the infrastructure needed to meet the State’s goals of 850,000 EVs by 2025 and recommend appropriate utility roles.
PSC-05-20-00005-P exempt	Wireline and wireless pole attachment rates.	To ensure safe and adequate service at just and reasonable rates charged to customers without undue preferences.
PSC-05-20-00006-P exempt	Waiver of pipeline reassessment completion deadline while adequate tools to conduct inspection are found.	To ensure the safety of the Clove Lake Segment Pipeline with the use of adequate reassessment tools.

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
PUBLIC SERVICE COMMISSION			
PSC-05-20-00007-P exempt	Petition to submeter electricity.	To ensure adequate submetering equipment and consumer protections are in place.
PSC-06-20-00012-P exempt	Notice of intent to submeter electricity.	To ensure adequate submetering equipment and consumer protections are in place.
PSC-06-20-00013-P exempt	Notice of intent to submeter electricity.	To ensure adequate submetering equipment and consumer protections are in place.
PSC-06-20-00014-P exempt	A program for the procurement of Renewable Energy Certificates from existing renewable resources.	To purchase Renewable Energy Certificates and maintain the State's baseline of existing renewable resources.
PSC-06-20-00015-P exempt	New Tariff Schedule, P.S.C. No. 3 - Water and waiver of rate setting authority.	To provide the rates, rules, and regulations under which water service will be provided to the customers of the system.
PSC-06-20-00016-P exempt	Notice of intent to submeter electricity and waiver of energy audit.	To ensure adequate submetering equipment, consumer protections and energy efficiency protections are in place.
PSC-06-20-00017-P exempt	Petitions for rehearing, reconsideration, clarification and stay of the December 12, 2019 Order.	To determine whether the Commission should grant, deny, or modify the relief sought and actions proposed by Petitioners
PSC-07-20-00006-P exempt	Discontinuation of a program administered by Con Edison and removal of the program from the tariff.	Consider discontinuation of the Smart AC Kit Program.
PSC-07-20-00007-P exempt	Procurement of environmental attributes associated with offshore wind resources.	To achieve the State's renewable and clean energy goals.
PSC-07-20-00008-P exempt	Notice of intent to submeter electricity.	To ensure adequate submetering equipment and consumer protections are in place.
PSC-07-20-00009-P exempt	Transfer of street lighting facilities.	To consider whether the transfer of certain street lighting facilities is in the public interest.
PSC-07-20-00010-P exempt	Notice of intent to submeter electricity.	To ensure adequate submetering equipment and consumer protections are in place.
PSC-07-20-00011-P exempt	Transfer of street lighting facilities.	To consider the transfer of street lighting facilities to the Town of Fallsburg.
PSC-08-20-00002-P exempt	Transfer of stock resulting in a complete ownership transfer.	To determine whether the proposed transfer is in the public interest.
PSC-08-20-00003-P exempt	PSC regulation 16 NYCRR § 86.3(a)(2) and 86.3(b)(2).	To consider a waiver of certain regulations relating to the content of an application for transmission line siting.
PSC-08-20-00004-P exempt	Waiver of provisions and service agreement.	To consider if the waiver and the proposed terms of a service agreement are in the public interest.
PSC-08-20-00005-P exempt	The use funding for certain pipeline safety programs.	To ensure appropriate use of funds reserved for gas safety programs.
PSC-08-20-00006-P exempt	To establish procedures and modify terminology for Underground Residential Distribution Systems.	To ensure safe and adequate service at just and reasonable rates charged to customers without undue preferences.

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
PUBLIC SERVICE COMMISSION			
PSC-09-20-00002-P exempt	Request for waiver of 16 NYCRR 96.5(k)(3).	To ensure adequate submetering equipment, consumer protections and energy efficiency protections are in place.
PSC-09-20-00003-P exempt	Proposed transfer of the Company's assets to the Town and dissolution of the Company.	To determine if transfer of the water system to the Town of North Greenbush is in the public interest.
PSC-09-20-00004-P exempt	Petition to submeter electricity.	To ensure adequate submetering equipment and consumer protections are in place.
PSC-09-20-00005-P exempt	Petition for the use of gas metering equipment.	To ensure that consumer bills are based on accurate measurements of gas usage.
PSC-09-20-00006-P exempt	Petition for the use of an electric meter in submetering applications.	Whether to permit the use of the GG electric meter in submetering applications in New York State.
PSC-10-20-00003-P exempt	The Commission's statewide low-income discount policy.	To consider modifications to certain conditions regarding utility low-income discount programs.
PSC-10-20-00004-P exempt	Recovery of extraordinary repair expenses and establishment of an escrow account.	To consider if the proposed escrow account is in the public interest.
PSC-10-20-00005-P exempt	Partial waiver of the Order Adopting Changes to the Retail Access Energy Market and Establishing Further Process.	To consider whether Family Energy, Inc. should be granted a waiver to offer two "green gas" products to mass market customers.
PSC-10-20-00006-P exempt	Petition to submeter electricity.	To ensure adequate submetering equipment and consumer protections are in place.
PSC-11-20-00006-P exempt	Notice of intent to submeter electricity.	To ensure adequate submetering equipment and consumer protections are in place.
PSC-11-20-00007-P exempt	Deferral and recovery of incremental costs and establishment of an extraordinary repair escrow account.	To consider deferring costs related to water main leak repairs for subsequent recovery and establishment of an escrow account.
PSC-11-20-00008-P exempt	Revisions to the proration tariff language.	To consider revisions to the proration tariff language under Leaf 18.1, 18 61 to 64 and Leaf 69.
PSC-11-20-00009-P exempt	Proposed transfer of water supply assets.	To determine whether the transfer of assets from Whitlock to NYAW is in the public interest.
PSC-11-20-00010-P exempt	The proposed transfer of ownership interests in an existing transmission line.	Consideration of whether the proposed transfer is in the public interest.
PSC-11-20-00011-P exempt	Application of the Public Service Law to owners of a proposed 345 kilovolt (kV) transmission line providing wholesale services.	To determine whether to apply a lightened regulatory regime to the owners of a proposed 345 kV transmission line.
PSC-12-20-00007-P exempt	Request for waiver of tariff provision.	Consideration of a request for waiver of tariff provision.
PSC-12-20-00008-P exempt	Delivery rates of Corning Natural Gas Corporation.	Whether to postpone the implementation of a change in rates that would otherwise become effective on June 1, 2020.

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
PUBLIC SERVICE COMMISSION			
PSC-12-20-00009-P exempt	Clarify language regarding treatment of multi-unit buildings in CDG projects.	To ensure safe and adequate service at just and reasonable rates charged to customers without undue preferences.
PSC-12-20-00010-P exempt	Direct Energy, LLC's Green Gas Products.	To consider whether Direct Energy, LLC should be allowed to offer two Green Gas Products to mass market customers.
PSC-12-20-00011-P exempt	Sale of facilities.	To consider whether the sale of facilities is in the public interest.
PSC-12-20-00012-P exempt	Transfer of street lighting facilities.	Consideration of petition by NYSEG for transfer of assets to the City of Ithaca.
PSC-12-20-00013-P exempt	Changes to PSL Section 66-p relating to billing information for residential rental premises.	To establish provisions as necessary to effectuate PSL Section 66-p.
PSC-12-20-00014-P exempt	Changes to PSL Section 66-p relating to billing information for residential rental premises.	To establish provisions as necessary to effectuate PSL Section 66-p.
PSC-12-20-00015-P exempt	Changes to PSL Section 66-p relating to billing information for residential rental premises.	To establish provisions as necessary to effectuate PSL Section 66-p.
PSC-12-20-00016-P exempt	Changes to PSL Section 66-p relating to billing information for residential rental premises.	To establish provisions as necessary to effectuate PSL Section 66-p.
PSC-12-20-00017-P exempt	Changes to PSL Section 66-p relating to billing information for residential rental premises.	To establish provisions as necessary to effectuate PSL Section 66-p.
PSC-12-20-00018-P exempt	Changes to PSL Section 66-p relating to billing information for residential rental premises.	To establish provisions as necessary to effectuate PSL Section 66-p.
PSC-12-20-00019-P exempt	Changes to PSL Section 66-p relating to billing information for residential rental premises.	To establish provisions as necessary to effectuate PSL Section 66-p.
PSC-12-20-00020-P exempt	Changes to PSL Section 66-p relating to billing information for residential rental premises.	To establish provisions as necessary to effectuate PSL Section 66-p.
PSC-12-20-00021-P exempt	Changes to PSL Section 66-p relating to billing information for residential rental premises.	To establish provisions as necessary to effectuate PSL Section 66-p.
PSC-12-20-00022-P exempt	Changes to PSL Section 66-p relating to billing information for residential rental premises.	To establish provisions as necessary to effectuate PSL Section 66-p.
STATE, DEPARTMENT OF			
DOS-42-19-00001-P 10/15/20	Real estate advertisements	To update current regulations concerning real estate advertisements
DOS-02-20-00003-P 01/14/21	Enhanced fair housing provisions	To provide additional notices and other enhancements relating to fair housing and the Human Rights Law

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
STATE UNIVERSITY OF NEW YORK			
SUN-50-19-00001-EP	12/10/20	Tuition, Fees and Charges	To authorize the waiver of admission application fees for military veterans and their spouses
SUN-53-19-00002-P	12/30/20	Proposed amendments to the traffic and parking regulations at State University of New York College at Old Westbury	Amend existing regulations to update traffic and parking regulations
SUN-53-19-00005-P	12/30/20	Proposed amendments to the traffic and parking regulations at State University Agricultural and Technical College at Morrisville	Amend existing regulations to update traffic and parking regulations
SUN-01-20-00001-P	01/07/21	Limitations on operating costs for purposes of State financial assistance.	To determine how state appropriated reimbursement for rental costs for physical space will be distributed to community colleges.
TAXATION AND FINANCE, DEPARTMENT OF			
TAF-02-20-00001-EP	01/14/21	Property tax levy limits for school districts in relation to certain costs resulting from capital local expenditures	To implement Education Law 2023-a relating to certain costs resulting from capital local expenditures of school districts
TAF-07-20-00013-P	exempt	Fuel use tax on motor fuel and diesel motor fuel and the art. 13-A carrier tax jointly administered therewith.	To set the sales tax component and the composite rate per gallon for the period April 1, 2020 through June 30, 2020.
TEMPORARY AND DISABILITY ASSISTANCE, OFFICE OF			
TDA-14-19-00007-P	04/02/20	Abandonment of requests for fair hearings	To require the issuance of letters to appellants who fail to appear at scheduled fair hearings involving Medical Assistance, also known as Medicaid, advising them how to request the rescheduling of such fair hearings
THRUWAY AUTHORITY, NEW YORK STATE			
THR-01-20-00003-P	01/07/21	Toll rate adjustments on the New York State Thruway system.	To provide for toll rate adjustments necessary to support the Authority's financial obligations.
WORKERS' COMPENSATION BOARD			
WCB-31-19-00018-RP	07/30/20	Medical Treatment Guidelines	Add guidelines for treatment of hip and groin, foot and ankle, elbow and occupational interstitial lung disease
WCB-37-19-00002-P	09/10/20	Applications for Reopenings	Clarify the process for reopening a case that has been previously closed
WCB-11-20-00005-EP	03/18/21	Updating the prescription drug formulary	To update the prescription drug formulary in response to continuous feedback

SECURITIES OFFERINGS

STATE NOTICES

Published pursuant to provisions of General Business Law
[Art. 23-A, § 359-e(2)]

DEALERS; BROKERS

162 19th Ave Series of Wide Open Ventures QOF I LLC
42 Commerce St., 4th Fl., New York, NY 10014
State or country in which incorporated — Delaware

Abacus Multi-Family Partners V LP
c/o Abacus Capital Group LLC, 100 Park Ave., Suite 3500, New York,
NY 10017
Partnership — AMFP V GP LLC

AG WFC, L.P.
c/o Angelo, Gordon & Co., L.P., 245 Park Ave., New York, NY 10167
Partnership — AG WFC GP, LLC

Allegiant Recoe Reit, LLC
135 E. 57th St., 17th Fl., New York, NY 10022
State or country in which incorporated — Delaware

Arctos Sports Partners Fund I, LP
2021 McKinney Ave., Suite 200, Dallas, TX 75201
Partnership — Arctos Sports Partners Fund I GP, LP

Artemis Vega Fund, L.P.
401 Congress Ave., Suite 3250, Austin, TX 78701
Partnership — Artemis Capital LLC
Artemis Capital Management, LP

Basalt Infrastructure Partners III A L.P.
PO Box 656, East Wing Trafalgar Court, St Peter Port, Guernsey GY1
3PP
Partnership — Basalt Infrastructure Partners III GP Limited

Blue Gold Works, Inc.
17 Meadow Way, Fairfax, CA 94930
State or country in which incorporated — Delaware

Boon Logic, Inc.
708 N. First St., Minneapolis, MN 55401
State or country in which incorporated — Delaware

BT Select Fund III, LP
12801 N. Central Expwy, Suite 1675, Dallas, TX 75243
Partnership — BT Select Fund III GP, LLC

CCA Bayview LP
125 E. Elm St., Suite 200, Conshohocken, PA 19428
Partnership — PPB CBOF Mgt LLC

Clear Springs Resort, LLC
1366 E. 15th St., Edmond, OK 73013
State or country in which incorporated — Oklahoma

Cold Bore Capital Fund II L.P.
311 S. Wacker Dr., Suite 2640, Chicago, IL 60606
Partnership — Cold Bore Capital GP II LLC

GMI-SHJ, LP
251 O'Connor Ridge Blvd., Suite 100, Irving, TX 75038
Partnership — GMI-SHJ GP, LLC

GoviEx Uranium Inc.
World Trade Centre, 999 Canada Pl., Suite 654, Vancouver, British
Columbia V6C 3E1 Canada
State or country in which incorporated — British Columbia

Hawk Ridge Partners LP
12424 Wilshire Blvd., Suite 1430, Los Angeles, CA 90025
Partnership — Hawk Ridge Capital Management GP LLC

Hemp Logic, Inc.
227 W. Valley Blvd., #208A, San Gabriel, CA 91776
State or country in which incorporated — Delaware

Hornet Corporation
111 Imperial Blvd., Bldg. D400, Hendersonville, TN 37075
State or country in which incorporated — Tennessee

Hudson Valley Preservation Fund II, LLC
200 Vesey St., 24th Fl., New York, NY 10281
State or country in which incorporated — Delaware limited liability
company

Hunting Hill Crypto Opportunities Fund LP
122 E. 42nd St., Suite 5005, New York, NY 10168
Partnership — Hunting Hill Capital Partners, LLC

Hunting Hill Crypto Opportunities Offshore Fund, Ltd.
c/o Esera Trust (Cayman) Limited, Clifton House, 75 Fort St., P.O.
Box 1350, Grand Cayman, Cayman Islands KY1-1108
State or country in which incorporated — Cayman Islands

Invesco Real Estate European Value Add Fund II, SCSP
37A, Avenue J.F. Kennedy, L-1855 Luxembourg, Grand-Duchy of
Luxembourg
State or country in which incorporated — Luxembourg

Lakeshore Capital II LP
International Corporation Services, Harbour Pl. 2/F, 103 S. Church
St., Grand Cayman, Cayman Islands KY1-1106
Partnership — Lakeshore Capital II GP Limited

Meaningful Fashion, LLC
2041 Rosecrans Ave., Suite 359, El Segundo, CA 90245
State or country in which incorporated — Delaware

Metalmark Innovations, Inc.
127 Western Ave., Allston, MA 02134
State or country in which incorporated — Delaware

Method 529 King OZ Investors, LLC
c/o Method Residential LLC, 1523 N. Front St., Suite 300, Philadelphia, PA 19122

Mitosense, Inc.
330 Chesapeake Dr., Great Falls, VA 22066
State or country in which incorporated — Delaware

NexPoint Flamingo DST
300 Crescent Court, Suite 700, Dallas, TX 75201
State or country in which incorporated — Delaware

Northside Place LLC
45 East Avenue, Rochester, NY 14604
State or country in which incorporated — New York

Paulson Pure Spread Enhanced Fund LP
1133 Avenue of the Americas, New York, NY 10036
Partnership — Paulson Management IV LLC

Paulson Pure Spread Enhanced Fund Ltd
c/o Maples Corporate Services Limited, P.O. Box 309, Ugland House, Grand Cayman, Cayman Islands KY1-1104
State or country in which incorporated — Cayman Islands

Private Equity Core Fund (QP) IX, (Offshore) L.P.
50 S. LaSalle St., Chicago, IL 60603
Partnership — 50 South Capital Advisors, LLC

PrizeOut Corp.
30 W. 24th St., 3rd Fl., New York, NY 10010
State or country in which incorporated — Delaware

Sheridan Capital Partners DOCS SPV, LP
400 N. Michigan Ave., Suite 800, Chicago, IL 60611
Partnership — Sheridan Capital Partners DOCS SPV GP, LP

SmartCap Opportunity Zone Fund LLC
8201 164th Ave. NE, Suite 110, Redmond, WA 98052
State or country in which incorporated — Washington

Syracuse Real Food Cooperative, Inc.
618 Kensington Rd., Syracuse, NY 13210
State or country in which incorporated — New York

TDR Capital Safari L.P.
20 Bentinck St., London, United Kingdom W1U 2EU
Partnership — TDR Capital General Partner IV L.P.

True Sync Media, Inc.
4800 Washington St., Suite C, Denver, CO 80216
State or country in which incorporated — Delaware

Visionairy Health, Inc.
125 Western Ave., Allston, MA 02134
State or country in which incorporated — Delaware

Vista Credit Partners Fund III, L.P.
c/o Vista Equity Partners Management LLC, 4 Embarcadero Center, 20th Fl., San Francisco, CA 94111
Partnership — Vista Credit Partners Fund III GP, LLC

Watchung Capital Carbon 550 LP
412 W. 15th St., 16th Fl., New York, NY 10011
Partnership — Watchung Capital Carbon 550 GP LLC

Westmount at River Park Investors LP
700 N. Pearl St., Suite N1650, Dallas, TX 75201
Partnership — Westmount at River Park Investors GP LLC

Weathervane Capital Partners Fund XI, L.P.
31 Ocean Reef Dr., Suite C101-165, Key Largo, FL 33037
Partnership — Weathervane Capital Partners GP, LLC

West Coast Income LLC
7336 W. Post Rd., Suite 111, Las Vegas, NV 89113
State or country in which incorporated — Nevada

Wheeler County Partners, LLC
8014 Cumming Hwy., Suite 403369, Canton, GA 30115
State or country in which incorporated — Georgia

YieldStreet Prism Fund Inc.
300 Park Ave., 15th Fl., New York, NY 10022
State or country in which incorporated — Maryland

ADVERTISEMENTS FOR BIDDERS/CONTRACTORS

SEALED BIDS

REPLACE ROOF

Downstate Correctional Facility
Fishkill, Dutchess County

Sealed bids for Project Nos. M3116-C, M3116-P, M3116-H, and M3116-E, comprising separate contracts for Construction Work, HVAC Work, Plumbing Work, and Electrical Work, Replace Roof, Buildings 1C, 1D, 1E, & 1F, Downstate Correctional Facility, 121 Red Schoolhouse Rd, Fishkill (Dutchess County), NY, will be received by the Office of General Services (OGS), Design & Construction Group (D&C), Division of Contract Management, 35th Fl., Corning Tower, Empire State Plaza, Albany, NY 12242, on behalf of the Department of Correctional Services, until 2:00 p.m. on Wednesday, March 25th, 2020 when they will be publicly opened and read. Each bid must be prepared and submitted in accordance with the Instructions to Bidders and must be accompanied by a bid security (i.e. certified check, bank check, or bid bond in the amount of \$29,800 for C, \$1,100 for H, \$1,400 for P, and \$10,100 for E).

All successful bidders will be required to furnish a Performance Bond and a Labor and Material Bond pursuant to Sections 136 and 137 of the State Finance Law, each for 100% of the amount of the Contract estimated to be between \$500,000 and \$1,000,000 for C, between \$0 and \$25,000 for H, between \$0 and \$25,000 for P, and between \$100,000 and \$250,000 for E.

Pursuant to State Finance Law §§ 139-j and 139-k, this solicitation includes and imposes certain restrictions on communications between OGS D&C and a bidder during the procurement process. A bidder is restricted from making contacts from the earliest posting, on the OGS website, in a newspaper of general circulation, or in the Contract Reporter of written notice, advertisement or solicitation of offers through final award and approval of the contract by OGS D&C and the Office of the State Comptroller ("Restricted Period") to other than designated staff unless it is a contact that is included among certain statutory exceptions set forth in State Finance Law § 139-j(3)(a). Designated staff are John Pupons, Jessica Hoffman and Pierre Alric in the Division of Contract Management, telephone (518) 474-0203, fax (518) 473-7862 and John Lewyckyj, Deputy Director, Design & Construction Group, telephone (518) 474-0201, fax (518) 486-1650. OGS D&C employees are also required to obtain certain information when contacted during the restricted period and make a determination of the responsibility of the bidder pursuant to these two statutes. Certain findings of non-responsibility can result in rejection for contract award and in the event of two findings within a four-year period, the bidder is debarred from obtaining governmental Procurement Contracts. Bidders responding to this Advertisement must familiarize themselves with the State Finance Law requirements and will be expected to affirm that they understand and agree to comply on the bid form. Further information about these requirements can be found within the project manual or at: <http://www.ogs.ny.gov/aboutOGS/regulations/defaultAdvisoryCouncil.html>

The substantial completion date for this project is 386 days after the Agreement is approved by the Comptroller.

Pursuant to Public Buildings Law § 8(6), effective January 11, 2020, for any projects where the project design commenced on or af-

ter January 1, 2020 and for any contracts over \$5,000 for the work of construction, reconstruction, alteration, repair, or improvement of any State building, a responsible and reliable NYS-certified Minority or Women-Owned Business Enterprise that submits a bid within ten percent of the lowest bid will be deemed the apparent low bidder provided that the bid is \$1,400,000 or less, as adjusted annually for inflation beginning January 1, 2020. If more than one responsible and reliable MWBE firm meets these requirements, the MWBE firm with the lowest bid will be deemed the apparent low bidder.

XX Project commenced design before January 1, 2020. Not subject to provision.

— Project commenced design on or after January 1, 2020. Subject to provision.

The only time prospective bidders will be allowed to visit the job site to take field measurements and examine existing conditions of the project area will be at 9:00:00 a.m. on March 17, 2020 at the OGS Field Office, Fishkill Facility, 17 Duck Pond Drive, Beacon NY. Prospective bidders are urged to visit the site at this time. Prospective bidders or their representatives attending the pre-bid site visit will not be admitted on facility grounds without proper photo identification. Note that parking restrictions and security provisions will apply and all vehicles will be subject to search.

Phone the office of Lanti Osmani (845-765-7123) a minimum of 72 hours in advance of the date to provide the names of those who will attend the pre-bid site visit.

Pursuant to New York State Executive Law Article 15-A and the rules and regulations promulgated thereunder, OGS is required to promote opportunities for the maximum feasible participation of New York State-certified Minority- and Women-owned Business Enterprises ("MWBEs") and the employment of minority group members and women in the performance of OGS contracts. All bidders are expected to cooperate in implementing this policy. OGS hereby establishes an overall goal of 30% for MWBE participation, 15% for Minority-Owned Business Enterprises ("MBE") participation and 15% for Women-Owned Business Enterprises ("WBE") participation (based on the current availability of qualified MBEs and WBEs) for Construction Work and an overall goal of 10% for MWBE participation, 5% for Minority-Owned Business Enterprises ("MBE") participation and 5% for Women-Owned Business Enterprises ("WBE") participation (based on the current availability of qualified MBEs and WBEs) for Electrical Work. The total contract goal can be obtained by utilizing any combination of MBE and /or WBE participation for subcontracting and supplies acquired under this Contract.

The Office of General Services reserves the right to reject any or all bids.

The Bidding and Contract Documents for this Project are available on compact disc (CD) only, and may be obtained for an \$8.00 deposit per set, plus a \$2.00 per set shipping and handling fee. Pursuant to State Finance Law § 143(1), effective January 11, 2020, the required deposit will be waived upon request by any Minority- and Women-Owned Business Enterprise certified pursuant to Article 15-A of the Executive Law or any Service-Disabled Veteran-Owned Business Enterprise certified pursuant to Article 17-B of the Executive Law. Contractors and other interested parties can order CD's on-line through a secure web interface available 24 hours a day, 7 days a week. Please use the following link at the OGS website for ordering and payment instructions: <https://online.ogs.ny.gov/dnc/contractorConsultant/esb/ESBPlansAvailableIndex.asp>

For questions about purchase of bid documents, please send an e-mail to DCPlans@ogs.ny.gov, or call (518) 474-0203.

For additional information on this project, please use the link below and then click on the project number: <https://online.ogs.ny.gov/dnc/contractorConsultant/esb/ESBPlansAvailableIndex.asp>

By John D. Lewyckyj, Deputy Director
OGS - Design & Construction Group

**PROVIDE
GREENSAND FILTER/SALT STORAGE**
Eastern Correctional Facility
Napanoch, Ulster County

Sealed bids for Project Nos. Q1719-C, Q1719-P and Q1719-E, comprising separate contracts for Construction Work, Plumbing Work, and Electrical Work, Provide Greensand Filter & Salt Storage, Building 168, Eastern Correctional Facility, 30 Institution Rd, PO Box 338, Napanoch (Ulster County), NY, will be received by the Office of General Services (OGS), Design & Construction Group (D&C), Division of Contract Management, 35th Fl., Corning Tower, Empire State Plaza, Albany, NY 12242, on behalf of the Department of Corrections and Community Supervision, until 2:00 p.m. on Wednesday, March 25, 2020 when they will be publicly opened and read. Each bid must be prepared and submitted in accordance with the Instructions to Bidders and must be accompanied by a certified check, bank check, or bid bond in the amount of \$47,400 for C, \$6,300 for P, and \$15,200 for E.

All successful bidders will be required to furnish a Performance Bond and a Labor and Material Bond in the statutory form of public bonds required by Sections 136 and 137 of the State Finance Law, each for 100% of the amount of the Contract estimated to be between \$1,000,000 and \$2,000,000 for C, between \$50,000 and \$100,000 for P, and between \$100,000 and \$250,000 for E.

Pursuant to State Finance Law §§ 139-j and 139-k, this solicitation includes and imposes certain restrictions on communications between OGS D&C and a bidder during the procurement process. A bidder is restricted from making contacts from the earliest posting, on the OGS website, in a newspaper of general circulation, or in the Contract Reporter of written notice, advertisement or solicitation of offers through final award and approval of the contract by OGS D&C and the Office of the State Comptroller ("Restricted Period") to other than designated staff unless it is a contact that is included among certain statutory exceptions set forth in State Finance Law § 139-j(3)(a). Designated staff are John Pupons, Jessica Hoffman and Pierre Alric in the Division of Contract Management, telephone (518) 474-0203, fax (518) 473-7862 and John Lewyckyj, Deputy Director, Design & Construction Group, telephone (518) 474-0201, fax (518) 486-1650. OGS D&C employees are also required to obtain certain information when contacted during the restricted period and make a determination of the responsibility of the bidder pursuant to these two statutes. Certain findings of non-responsibility can result in rejection for contract award and in the event of two findings within a four-year period, the bidder is debarred from obtaining governmental Procurement Contracts. Bidders responding to this Advertisement must familiarize themselves with the State Finance Law requirements and will be expected to affirm that they understand and agree to comply on the bid form. Further information about these requirements can be found within the project manual or at: <http://www.ogs.ny.gov/aboutOGS/regulations/defaultAdvisoryCouncil.html>

The substantial completion date for this project is 316 days after the Agreement is approved by the Comptroller.

Pursuant to Public Buildings Law § 8(6), effective January 11, 2020, for any projects where the project design commenced on or after January 1, 2020 and for any contracts over \$5,000 for the work of construction, reconstruction, alteration, repair, or improvement of any State building, a responsible and reliable NYS-certified Minority or Women-Owned Business Enterprise that submits a bid within ten percent of the lowest bid will be deemed the apparent low bidder provided that the bid is \$1,400,000 or less, as adjusted annually for inflation beginning January 1, 2020. If more than one responsible and

reliable MWBE firm meets these requirements, the MWBE firm with the lowest bid will be deemed the apparent low bidder.

XX Project commenced design before January 1, 2020. Not subject to provision.

— Project commenced design on or after January 1, 2020. Subject to provision.

The only time prospective bidders will be allowed to visit the job site to take field measurements and examine existing conditions of the project area will be at 10:00 a.m. on March 16, 2020 at the OGS Field Office, 601A Berm Road, in Napanoch. Prospective bidders are urged to visit the site at this time. Prospective bidders or their representatives attending the pre-bid site visit will not be admitted on facility grounds without proper photo identification. Note that parking restrictions and security provisions will apply and all vehicles will be subject to search.

Phone the office of Karen Flood, (845-434-0214) a minimum of 72 hours in advance of the date to provide the names of those who will attend the pre-bid site visit.

Pursuant to New York State Executive Law Article 15-A and the rules and regulations promulgated thereunder, OGS is required to promote opportunities for the maximum feasible participation of New York State-certified Minority- and Women-owned Business Enterprises ("MWBEs") and the employment of minority group members and women in the performance of OGS contracts. All bidders are expected to cooperate in implementing this policy. OGS hereby establishes an overall goal of 30% for MWBE participation, 15% for Minority-Owned Business Enterprises ("MBE") participation and 15% for Women-Owned Business Enterprises ("WBE") participation (based on the current availability of qualified MBEs and WBEs) for Construction Work and an overall goal of 20% for MWBE participation, 10% for Minority-Owned Business Enterprises ("MBE") participation and 10% for Women-Owned Business Enterprises ("WBE") participation (based on the current availability of qualified MBEs and WBEs) for Electrical Work. The total contract goal can be obtained by utilizing any combination of MBE and /or WBE participation for subcontracting and supplies acquired under this Contract.

The Office of General Services reserves the right to reject any or all bids.

The Bidding and Contract Documents for this Project are available on compact disc (CD) only, and may be obtained for an \$8.00 deposit per set, plus a \$2.00 per set shipping and handling fee. Pursuant to State Finance Law § 143(1), effective January 11, 2020, the required deposit will be waived upon request by any Minority- and Women-Owned Business Enterprise certified pursuant to Article 15-A of the Executive Law or any Service-Disabled Veteran-Owned Business Enterprise certified pursuant to Article 17-B of the Executive Law. Contractors and other interested parties can order CD's on-line through a secure web interface available 24 hours a day, 7 days a week. Please use the following link at the OGS website for ordering and payment instructions: <https://online.ogs.ny.gov/dnc/contractorConsultant/esb/ESBPlansAvailableIndex.asp>

For questions about purchase of bid documents, please send an e-mail to DCPlans@ogs.ny.gov, or call (518) 474-0203.

For additional information on this project, please use the link below and then click on the project number: <https://online.ogs.ny.gov/dnc/contractorConsultant/esb/ESBPlansAvailableIndex.asp>

By John D. Lewyckyj, Deputy Director
OGS - Design & Construction Group

**REHABILITATE
FISH LADDER/VIEWING PLATFORM**
Salmon River Fish Hatchery
Altmar, Oswego County

Sealed bids for Project No. Q1774-C, comprising a contract for Construction Work, Rehabilitate Fish Ladder & Viewing Platform, Salmon River Fish Hatchery, 2133 County Route 22, Altmar (Oswego County), NY, will be received by the Office of General Services

(OGS), Design & Construction Group (D&C), Division of Contract Management, 35th Fl., Corning Tower, Empire State Plaza, Albany, NY 12242, on behalf of the Department of Environmental Conservation-Division of Operations, until 2:00 p.m. on Wednesday, March 25, 2020, when they will be publicly opened and read. Each bid must be prepared and submitted in accordance with the Instructions to Bidders and must be accompanied by a bid security (i.e. certified check, bank check, or bid bond in the amount of \$82,100 for C).

All successful bidders will be required to furnish a Performance Bond and a Labor and Material Bond pursuant to Sections 136 and 137 of the State Finance Law, each for 100% of the amount of the Contract estimated to be between \$2,000,000 and \$3,000,000 for C.

Pursuant to State Finance Law §§ 139-j and 139-k, this solicitation includes and imposes certain restrictions on communications between OGS D&C and a bidder during the procurement process. A bidder is restricted from making contacts from the earliest posting, on the OGS website, in a newspaper of general circulation, or in the Contract Reporter of written notice, advertisement or solicitation of offers through final award and approval of the contract by OGS D&C and the Office of the State Comptroller ("Restricted Period") to other than designated staff unless it is a contact that is included among certain statutory exceptions set forth in State Finance Law § 139-j(3)(a). Designated staff are John Pupons, Jessica Hoffman and Pierre Alric in the Division of Contract Management, telephone (518) 474-0203, fax (518) 473-7862 and John Lewyckyj, Deputy Director, Design & Construction Group, telephone (518) 474-0201, fax (518) 486-1650. OGS D&C employees are also required to obtain certain information when contacted during the restricted period and make a determination of the responsibility of the bidder pursuant to these two statutes. Certain findings of non-responsibility can result in rejection for contract award and in the event of two findings within a four-year period, the bidder is debarred from obtaining governmental Procurement Contracts. Bidders responding to this Advertisement must familiarize themselves with the State Finance Law requirements and will be expected to affirm that they understand and agree to comply on the bid form. Further information about these requirements can be found within the project manual or at: <http://www.ogs.ny.gov/aboutOGS/regulations/defaultAdvisoryCouncil.html>

Pursuant to Public Buildings Law § 8(6), effective January 11, 2020, for any projects where the project design commenced on or after January 1, 2020 and for any contracts over \$5,000 for the work of construction, reconstruction, alteration, repair, or improvement of any State building, a responsible and reliable NYS-certified Minority or Women-Owned Business Enterprise that submits a bid within ten percent of the lowest bid will be deemed the apparent low bidder provided that the bid is \$1,400,000 or less, as adjusted annually for inflation beginning January 1, 2020. If more than one responsible and reliable MWBE firm meets these requirements, the MWBE firm with the lowest bid will be deemed the apparent low bidder.

XX Project commenced design before January 1, 2020. Not subject to provision.

— Project commenced design on or after January 1, 2020. Subject to provision.

As a condition of award, within 48 hours of receipt of the proposed Contract Agreement from the State, the apparent low bidder shall return the Contract Agreement to the State, properly executed, along with the Bonds if required by said Agreement. Low bidders who cannot meet these provisions may be subject to disqualification and forfeiture of the bid security.

The State intends to expedite award of this Contract and the Contractor shall be prepared to proceed with the Work accordingly. Bidders are warned that time is of the essence of the Contract and substantial completion of the Work must be within 384 days after the Agreement is approved by the Comptroller. Due to the tightness of the construction schedule, bidders should consider the necessity for an increased work force and shift operations.

The only time prospective bidders will be allowed to visit the job site to take field measurements and examine existing conditions of the project area will be at 10:00 a.m. on March 13, 2020 at the Salmon River Fish Hatchery, 2133 County Rte. 22 Altmar, NY Prospective

bidders are urged to visit the site at this time. Prospective bidders or their representatives attending the pre-bid site visit will not be admitted on facility grounds without proper photo identification. Note that parking restrictions and security provisions will apply and all vehicles will be subject to search.

Phone the office of Tracy Gualtieri, (315-337-0159) a minimum of 48 hours in advance of the date to provide the names of those who will attend the pre-bid site visit.

Pursuant to New York State Executive Law Article 15-A and the rules and regulations promulgated thereunder, OGS is required to promote opportunities for the maximum feasible participation of New York State-certified Minority- and Women-owned Business Enterprises ("MWBEs") and the employment of minority group members and women in the performance of OGS contracts. All bidders are expected to cooperate in implementing this policy. OGS hereby establishes an overall goal of 30% for MWBE participation, 15% for Minority-Owned Business Enterprises ("MBE") participation and 15% for Women-Owned Business Enterprises ("WBE") participation (based on the current availability of qualified MBEs and WBEs). The total contract goal can be obtained by utilizing any combination of MBE and/or WBE participation for subcontracting and supplies acquired under this Contract.

The Office of General Services reserves the right to reject any or all bids.

The Bidding and Contract Documents for this Project are available on compact disc (CD) only, and may be obtained for an \$8.00 deposit per set, plus a \$2.00 per set shipping and handling fee. Pursuant to State Finance Law § 143(1), effective January 11, 2020, the required deposit will be waived upon request by any Minority- and Women-Owned Business Enterprise certified pursuant to Article 15-A of the Executive Law or any Service-Disabled Veteran-Owned Business Enterprise certified pursuant to Article 17-B of the Executive Law. Contractors and other interested parties can order CD's on-line through a secure web interface available 24 hours a day, 7 days a week. Please use the following link at the OGS website for ordering and payment instructions: <https://online.ogs.ny.gov/dnc/contractorConsultant/esb/ESBPlansAvailableIndex.asp>

For questions about purchase of bid documents, please send an e-mail to DCPlans@ogs.ny.gov, or call (518) 474-0203.

For additional information on this project, please use the link below and then click on the project number: <https://online.ogs.ny.gov/dnc/contractorConsultant/esb/ESBPlansAvailableIndex.asp>

By *John D. Lewyckyj*, Deputy Director
OGS - Design & Construction Group

REPLACE FLOOR/SANITARY DRAINS Orleans Correctional Facility Albion, Orleans County

Sealed bids for Project Nos. 45171-C, 45171-P and 45171-E, comprising separate contracts for Construction Work, Plumbing Work, and Electrical Work, Replace Floor & Sanitary Drains, Building 12, Orleans Correctional Facility, 3531 Gaines Basin Rd., Albion (Orleans County), NY, will be received by the Office of General Services (OGS), Design & Construction Group (D&C), Division of Contract Management, 35th Fl., Corning Tower, Empire State Plaza, Albany, NY 12242, on behalf of the Department of Correctional Services, until 2:00 p.m. on Wednesday, March 25, 2020 when they will be publicly opened and read. Each bid must be prepared and submitted in accordance with the Instructions to Bidders and must be accompanied by a bid security (i.e. certified check, bank check, or bid bond in the amount of \$27,200 for C, \$15,500 for P, and \$7,400 for E).

All successful bidders will be required to furnish a Performance Bond and a Labor and Material Bond pursuant to Sections 136 and 137 of the State Finance Law, each for 100% of the amount of the Contract estimated to be between \$500,000 and \$1,000,000 for C, between \$100,000 and \$250,000 for P, and between \$50,000 and \$100,000 for E.

Pursuant to State Finance Law §§ 139-j and 139-k, this solicitation includes and imposes certain restrictions on communications between OGS D&C and a bidder during the procurement process. A bidder is restricted from making contacts from the earliest posting, on the OGS website, in a newspaper of general circulation, or in the Contract Reporter of written notice, advertisement or solicitation of offers through final award and approval of the contract by OGS D&C and the Office of the State Comptroller ("Restricted Period") to other than designated staff unless it is a contact that is included among certain statutory exceptions set forth in State Finance Law § 139-j(3)(a). Designated staff are John Pupons, Jessica Hoffman and Pierre Alric in the Division of Contract Management, telephone (518) 474-0203, fax (518) 473-7862 and John Lewyckyj, Deputy Director, Design & Construction Group, telephone (518) 474-0201, fax (518) 486-1650. OGS D&C employees are also required to obtain certain information when contacted during the restricted period and make a determination of the responsibility of the bidder pursuant to these two statutes. Certain findings of non-responsibility can result in rejection for contract award and in the event of two findings within a four-year period, the bidder is debarred from obtaining governmental Procurement Contracts. Bidders responding to this Advertisement must familiarize themselves with the State Finance Law requirements and will be expected to affirm that they understand and agree to comply on the bid form. Further information about these requirements can be found within the project manual or at: <http://www.ogs.ny.gov/aboutOGS/regulations/defaultAdvisoryCouncil.html>

The substantial completion date for this project is 422 days after the Agreement is approved by the Comptroller.

Pursuant to Public Buildings Law § 8(6), effective January 11, 2020, for any projects where the project design commenced on or after January 1, 2020 and for any contracts over \$5,000 for the work of construction, reconstruction, alteration, repair, or improvement of any State building, a responsible and reliable NYS-certified Minority or Women-Owned Business Enterprise that submits a bid within ten percent of the lowest bid will be deemed the apparent low bidder provided that the bid is \$1,400,000 or less, as adjusted annually for inflation beginning January 1, 2020. If more than one responsible and reliable MWBE firm meets these requirements, the MWBE firm with the lowest bid will be deemed the apparent low bidder.

XX Project commenced design before January 1, 2020. Not subject to provision.

 Project commenced design on or after January 1, 2020. Subject to provision.

The only time prospective bidders will be allowed to visit the job site to take field measurements and examine existing conditions of the project area will be at 1:30 p.m. on March 17, 2020 at 3571 State School Road, Albion, NY. Prospective bidders are urged to visit the site at this time. Prospective bidders or their representatives attending the pre-bid site visit will not be admitted on facility grounds without proper photo identification. Note that parking restrictions and security provisions will apply and all vehicles will be subject to search.

Phone the office of Corey Stalker (585-589-4854) a minimum of 72 hours in advance of the date to provide the names of those who will attend the pre-bid site visit.

Pursuant to New York State Executive Law Article 15-A and the rules and regulations promulgated thereunder, OGS is required to promote opportunities for the maximum feasible participation of New York State-certified Minority- and Women-owned Business Enterprises ("MWBEs") and the employment of minority group members and women in the performance of OGS contracts. All bidders are expected to cooperate in implementing this policy. OGS hereby establishes an overall goal of 30% for MWBE participation, 15% for Minority-Owned Business Enterprises ("MBE") participation and 15% for Women-Owned Business Enterprises ("WBE") participation (based on the current availability of qualified MBEs and WBEs) for Construction Work and establishes an overall goal of 10% for MWBE participation, 5% for Minority-Owned Business Enterprises ("MBE") participation and 5% for Women-Owned Business Enterprises ("WBE") participation (based on the current availability of qualified MBEs and WBEs) for Plumbing Work. The total contract goal can be

obtained by utilizing any combination of MBE and/or WBE participation for subcontracting and supplies acquired under this Contract.

The Office of General Services reserves the right to reject any or all bids.

The Bidding and Contract Documents for this Project are available on compact disc (CD) only, and may be obtained for an \$8.00 deposit per set, plus a \$2.00 per set shipping and handling fee. Pursuant to State Finance Law § 143(1), effective January 11, 2020, the required deposit will be waived upon request by any Minority- and Women-Owned Business Enterprise certified pursuant to Article 15-A of the Executive Law or any Service-Disabled Veteran-Owned Business Enterprise certified pursuant to Article 17-B of the Executive Law. Contractors and other interested parties can order CD's on-line through a secure web interface available 24 hours a day, 7 days a week. Please use the following link at the OGS website for ordering and payment instructions: <https://online.ogs.ny.gov/dnc/contractorConsultant/esb/ESBPlansAvailableIndex.asp>

For questions about purchase of bid documents, please send an e-mail to DCPlans@ogs.ny.gov, or call (518) 474-0203.

For additional information on this project, please use the link below and then click on the project number: <https://online.ogs.ny.gov/dnc/contractorConsultant/esb/ESBPlansAvailableIndex.asp>

By *John D. Lewyckyj*, Deputy Director
OGS - Design & Construction Group

CONSTRUCT
BUILDING ADDITION
Department of Transportation Region 5
Mayville, Chautauqua County

Sealed bids for Project Nos. 45488-C, 45488-E, 45488-H, and 45488-P comprising separate contracts for Construction Work, Electrical Work, HVAC Work, and Plumbing Work, Construct Building Addition, Maintenance Headquarters, DOT Region 5, Chautauqua County, 109 E Chautauqua St Mayville (Chautauqua County), NY, will be received by the Office of General Services (OGS), Design & Construction Group (D&C), Division of Contract Management, 35th Fl., Corning Tower, Empire State Plaza, Albany, NY 12242, on behalf of the Department of Transportation, until 2:00 p.m. on Wednesday, March 25, 2020 when they will be publicly opened and read. Each bid must be prepared and submitted in accordance with the Instructions to Bidders and must be accompanied by a bid security (i.e. certified check, bank check, or bid bond in the amount of \$95,000 for C, \$24,800 for H, \$23,200 for P, and \$21,800 for E).

All successful bidders will be required to furnish a Performance Bond and a Labor and Material Bond pursuant to Sections 136 and 137 of the State Finance Law, each for 100% of the amount of the Contract estimated to be between \$3,000,000 and \$4,000,000 for C, between \$500,000 and \$1,000,000 for H, between \$250,000 and \$500,000 for P, and between \$250,000 and \$500,000 for E.

Pursuant to State Finance Law §§ 139-j and 139-k, this solicitation includes and imposes certain restrictions on communications between OGS D&C and a bidder during the procurement process. A bidder is restricted from making contacts from the earliest posting, on the OGS website, in a newspaper of general circulation, or in the Contract Reporter of written notice, advertisement or solicitation of offers through final award and approval of the contract by OGS D&C and the Office of the State Comptroller ("Restricted Period") to other than designated staff unless it is a contact that is included among certain statutory exceptions set forth in State Finance Law § 139-j(3)(a). Designated staff are John Pupons, Jessica Hoffman and Pierre Alric in the Division of Contract Management, telephone (518) 474-0203, fax (518) 473-7862 and John Lewyckyj, Deputy Director, Design & Construction Group, telephone (518) 474-0201, fax (518) 486-1650. OGS D&C employees are also required to obtain certain information when contacted during the restricted period and make a determination of the responsibility of the bidder pursuant to these two statutes. Certain findings of non-responsibility can result in rejection for

contract award and in the event of two findings within a four-year period, the bidder is debarred from obtaining governmental Procurement Contracts. Bidders responding to this Advertisement must familiarize themselves with the State Finance Law requirements and will be expected to affirm that they understand and agree to comply on the bid form. Further information about these requirements can be found within the project manual or at: <http://www.ogs.ny.gov/aboutOGS/regulations/defaultAdvisoryCouncil.html>

Pursuant to Public Buildings Law § 8(6), effective January 11, 2020, for any projects where the project design commenced on or after January 1, 2020 and for any contracts over \$5,000 for the work of construction, reconstruction, alteration, repair, or improvement of any State building, a responsible and reliable NYS-certified Minority or Women-Owned Business Enterprise that submits a bid within ten percent of the lowest bid will be deemed the apparent low bidder provided that the bid is \$1,400,000 or less, as adjusted annually for inflation beginning January 1, 2020. If more than one responsible and reliable MWBE firm meets these requirements, the MWBE firm with the lowest bid will be deemed the apparent low bidder.

XX Project commenced design before January 1, 2020. Not subject to provision.

— Project commenced design on or after January 1, 2020. Subject to provision.

As a condition of award, within 48 hours of receipt of the proposed Contract Agreement from the State, the apparent low bidder shall return the Contract Agreement to the State, properly executed, along with the Bonds if required by said Agreement. Low bidders who cannot meet these provisions may be subject to disqualification and forfeiture of the bid security.

The State intends to expedite award of this Contract and the Contractor shall be prepared to proceed with the Work accordingly. Bidders are warned that time is of the essence of the Contract and substantial completion of the Work must be within 924 days after the Agreement is approved by the Comptroller. Due to the tightness of the construction schedule, bidders should consider the necessity for an increased work force and shift operations.

The only time prospective bidders will be allowed to visit the job site to take field measurements and examine existing conditions of the project area will be at 10:00 a.m. on March 19, 2020 at 109 E. Chautauqua Street, Mayville, NY. Prospective bidders are urged to visit the site at this time. Prospective bidders or their representatives attending the pre-bid site visit will not be admitted on facility grounds without proper photo identification. Note that parking restrictions and security provisions will apply and all vehicles will be subject to search.

Phone the office of Kim Himes, (716-532-5151) a minimum of 48 hours in advance of the date to provide the names of those who will attend the pre-bid site visit.

Pursuant to New York State Executive Law Article 15-A and the rules and regulations promulgated thereunder, OGS is required to promote opportunities for the maximum feasible participation of New York State-certified Minority- and Women-owned Business Enterprises ("MWBEs") and the employment of minority group members and women in the performance of OGS contracts. All bidders are expected to cooperate in implementing this policy. OGS hereby establishes an overall goal of 30% for MWBE participation, 15% for Minority-Owned Business Enterprises ("MBE") participation and 15% for Women-Owned Business Enterprises ("WBE") participation (based on the current availability of qualified MBEs and WBEs) for Construction Work, an overall goal of 14% for MWBE participation, 7% for Minority-Owned Business Enterprises ("MBE") participation and 7% for Women-Owned Business Enterprises ("WBE") participation (based on the current availability of qualified MBEs and WBEs) for Electrical Work, an overall goal of 18% for MWBE participation, 9% for Minority-Owned Business Enterprises ("MBE") participation and 9% for Women-Owned Business Enterprises ("WBE") participation (based on the current availability of qualified MBEs and WBEs) for HVAC Work and an overall goal of 16% for MWBE participation, 8% for Minority-Owned Business Enterprises ("MBE") participation and 8% for Women-Owned Business Enterprises ("WBE") participation (based on the current availability of qualified MBEs and WBEs)

for Plumbing Work. The total contract goal can be obtained by utilizing any combination of MBE and/or WBE participation for subcontracting and supplies acquired under this Contract.

The Office of General Services reserves the right to reject any or all bids.

The Bidding and Contract Documents for this Project are available on compact disc (CD) only, and may be obtained for an \$8.00 deposit per set, plus a \$2.00 per set shipping and handling fee. Pursuant to State Finance Law § 143(1), effective January 11, 2020, the required deposit will be waived upon request by any Minority- and Women-Owned Business Enterprise certified pursuant to Article 15-A of the Executive Law or any Service-Disabled Veteran-Owned Business Enterprise certified pursuant to Article 17-B of the Executive Law. Contractors and other interested parties can order CD's on-line through a secure web interface available 24 hours a day, 7 days a week. Please use the following link at the OGS website for ordering and payment instructions: <https://online.ogs.ny.gov/dnc/contractorConsultant/esb/ESBPlansAvailableIndex.asp>

For questions about purchase of bid documents, please send an e-mail to DCPlans@ogs.ny.gov, or call (518) 474-0203.

For additional information on this project, please use the link below and then click on the project number: <https://online.ogs.ny.gov/dnc/contractorConsultant/esb/ESBPlansAvailableIndex.asp>

By *John D. Lewyckyj*, Deputy Director
OGS - Design & Construction Group

REPLACE WINDOWS

Hudson Correctional Facility
Hudson, Columbia County

Sealed bids for Project No. 45703-C, comprising a separate contract for Construction Work, Replace Windows, Building 62, Hudson Correctional Facility, East Court Street, Hudson (Columbia County), NY will be received by the Office of General Services (OGS), Design & Construction Group (D&C), Division of Contract Management, 35th Fl., Corning Tower, Empire State Plaza, Albany, NY 12242, on behalf of the Department of Correctional Services, until 2:00 p.m. on Wednesday, March 25th, when they will be publicly opened and read. Each bid must be prepared and submitted in accordance with the Instructions to Bidders and must be accompanied by a bid security (i.e. certified check, bank check, or bid bond in the amount of \$26,800 for C).

All successful bidders will be required to furnish a Performance Bond and a Labor and Material Bond pursuant to Sections 136 and 137 of the State Finance Law, each for 100% of the amount of the Contract estimated to be between \$500,000 and \$1,000,000 for C.

Pursuant to State Finance Law §§ 139-j and 139-k, this solicitation includes and imposes certain restrictions on communications between OGS D&C and a bidder during the procurement process. A bidder is restricted from making contacts from the earliest posting, on the OGS website, in a newspaper of general circulation, or in the Contract Reporter of written notice, advertisement or solicitation of offers through final award and approval of the contract by OGS D&C and the Office of the State Comptroller ("Restricted Period") to other than designated staff unless it is a contact that is included among certain statutory exceptions set forth in State Finance Law § 139-j(3)(a). Designated staff are John Pupons, Jessica Hoffman and Pierre Alric in the Division of Contract Management, telephone (518) 474-0203, fax (518) 473-7862 and John Lewyckyj, Deputy Director, Design & Construction Group, telephone (518) 474-0201, fax (518) 486-1650. OGS D&C employees are also required to obtain certain information when contacted during the restricted period and make a determination of the responsibility of the bidder pursuant to these two statutes. Certain findings of non-responsibility can result in rejection for contract award and in the event of two findings within a four-year period, the bidder is debarred from obtaining governmental Procurement Contracts. Bidders responding to this Advertisement must familiarize

themselves with the State Finance Law requirements and will be expected to affirm that they understand and agree to comply on the bid form. Further information about these requirements can be found within the project manual or at: <http://www.ogs.ny.gov/aboutOGS/regulations/defaultAdvisoryCouncil.html>

The substantial completion date for this project is 387 days after the Agreement is approved by the Comptroller.

Pursuant to Public Buildings Law § 8(6), effective January 11, 2020, for any projects where the project design commenced on or after January 1, 2020 and for any contracts over \$5,000 for the work of construction, reconstruction, alteration, repair, or improvement of any State building, a responsible and reliable NYS-certified Minority or Women-Owned Business Enterprise that submits a bid within ten percent of the lowest bid will be deemed the apparent low bidder provided that the bid is \$1,400,000 or less, as adjusted annually for inflation beginning January 1, 2020. If more than one responsible and reliable MWBE firm meets these requirements, the MWBE firm with the lowest bid will be deemed the apparent low bidder.

XX Project commenced design before January 1, 2020. Not subject to provision.

— Project commenced design on or after January 1, 2020. Subject to provision.

The only time prospective bidders will be allowed to visit the job site to take field measurements and examine existing conditions of the project area will be at 10:00 a.m. on March 17, 2020 at Hudson Valley Correctional Facility, East Court Street, Hudson, NY. Prospective bidders are urged to visit the site at this time. Prospective bidders or their representatives attending the pre-bid site visit will not be admitted on facility grounds without proper photo identification. Note that parking restrictions and security provisions will apply and all vehicles will be subject to search.

Phone the office of Karen Disonell (518-731-8290) a minimum of 72 hours in advance of the date to provide the names of those who will attend the pre-bid site visit.

Pursuant to New York State Executive Law Article 15-A and the rules and regulations promulgated thereunder, OGS is required to promote opportunities for the maximum feasible participation of New York State-certified Minority- and Women-owned Business Enterprises ("MWBEs") and the employment of minority group members and women in the performance of OGS contracts. All bidders are expected to cooperate in implementing this policy. OGS hereby establishes an overall goal of 30% for MWBE participation, 15% for Minority-Owned Business Enterprises ("MBE") participation and 15% for Women-Owned Business Enterprises ("WBE") participation (based on the current availability of qualified MBEs and WBEs). The total contract goal can be obtained by utilizing any combination of MBE and/or WBE participation for subcontracting and supplies acquired under this Contract.

The Office of General Services reserves the right to reject any or all bids.

The Bidding and Contract Documents for this Project are available on compact disc (CD) only, and may be obtained for an \$8.00 deposit per set, plus a \$2.00 per set shipping and handling fee. Pursuant to State Finance Law § 143(1), effective January 11, 2020, the required deposit will be waived upon request by any Minority- and Women-Owned Business Enterprise certified pursuant to Article 15-A of the Executive Law or any Service-Disabled Veteran-Owned Business Enterprise certified pursuant to Article 17-B of the Executive Law. Contractors and other interested parties can order CD's on-line through a secure web interface available 24 hours a day, 7 days a week. Please use the following link at the OGS website for ordering and payment instructions: <https://online.ogs.ny.gov/dnc/contractorConsultant/esb/ESBPlansAvailableIndex.asp>

For questions about purchase of bid documents, please send an e-mail to DCPlans@ogs.ny.gov, or call (518) 474-0203.

For additional information on this project, please use the link below and then click on the project number: <https://online.ogs.ny.gov/dnc/contractorConsultant/esb/ESBPlansAvailableIndex.asp>

By *John D. Lewyckyj*, Deputy Director
OGS - Design & Construction Group

REPLACE TOILETS/FLUSHOMETERS Eastern Correctional Facility Napanoch, Ulster County

Sealed bids for Project Nos. 45818-C, 45818-P and 45818-E, comprising separate contracts for Construction Work, Plumbing Work, and Electrical Work, Replace Toilets and Flushometers, Buildings 3 & 4 and Upgrade Wiring Building 3, Eastern Correctional Facility, 30 Institution Road, Napanoch (Ulster County), NY will be received by the Office of General Services (OGS), Design & Construction Group (D&C), Division of Contract Management, 35th Fl., Corning Tower, Empire State Plaza, Albany, NY 12242, on behalf of the Department of Correctional Services, until 2:00 p.m. on Wednesday, March 25, 2020, when they will be publicly opened and read. Each bid must be prepared and submitted in accordance with the Instructions to Bidders and must be accompanied by a bid security (i.e. certified check, bank check, or bid bond in the amount of \$72,300 for C, \$190,600 for P, and \$162,500 for E).

All successful bidders will be required to furnish a Performance Bond and a Labor and Material Bond pursuant to Sections 136 and 137 of the State Finance Law, each for 100% of the amount of the Contract estimated to be between \$2,000,000 and \$3,000,000 for C, between \$7,000,000 and \$8,000,000 for P, and between \$6,000,000 and \$7,000,000 for E.

Pursuant to State Finance Law §§ 139-j and 139-k, this solicitation includes and imposes certain restrictions on communications between OGS D&C and a bidder during the procurement process. A bidder is restricted from making contacts from the earliest posting, on the OGS website, in a newspaper of general circulation, or in the Contract Reporter of written notice, advertisement or solicitation of offers through final award and approval of the contract by OGS D&C and the Office of the State Comptroller ("Restricted Period") to other than designated staff unless it is a contact that is included among certain statutory exceptions set forth in State Finance Law § 139-j(3)(a). Designated staff are John Pupons, Jessica Hoffman and Pierre Alric in the Division of Contract Management, telephone (518) 474-0203, fax (518) 473-7862 and John Lewyckyj, Deputy Director, Design & Construction Group, telephone (518) 474-0201, fax (518) 486-1650. OGS D&C employees are also required to obtain certain information when contacted during the restricted period and make a determination of the responsibility of the bidder pursuant to these two statutes. Certain findings of non-responsibility can result in rejection for contract award and in the event of two findings within a four-year period, the bidder is debarred from obtaining governmental Procurement Contracts. Bidders responding to this Advertisement must familiarize themselves with the State Finance Law requirements and will be expected to affirm that they understand and agree to comply on the bid form. Further information about these requirements can be found within the project manual or at: <http://www.ogs.ny.gov/aboutOGS/regulations/defaultAdvisoryCouncil.html>

The substantial completion date for this project is 1,087 days after the Agreement is approved by the Comptroller.

Pursuant to Public Buildings Law § 8(6), effective January 11, 2020, for any projects where the project design commenced on or after January 1, 2020 and for any contracts over \$5,000 for the work of construction, reconstruction, alteration, repair, or improvement of any State building, a responsible and reliable NYS-certified Minority or Women-Owned Business Enterprise that submits a bid within ten percent of the lowest bid will be deemed the apparent low bidder provided that the bid is \$1,400,000 or less, as adjusted annually for inflation beginning January 1, 2020. If more than one responsible and reliable MWBE firm meets these requirements, the MWBE firm with the lowest bid will be deemed the apparent low bidder.

XX Project commenced design before January 1, 2020. Not subject to provision.

— Project commenced design on or after January 1, 2020. Subject to provision.

The only time prospective bidders will be allowed to visit the job site to take field measurements and examine existing conditions of the project area will be at 10:00 a.m. on March 13, 2020 at the Eastern Correctional Facility, OGS Field Office, 601A Berne Road, Naponach, NY. Prospective bidders are urged to visit the site at this time. Prospective bidders or their representatives attending the pre-bid site visit will not be admitted on facility grounds without proper photo identification. Note that parking restrictions and security provisions will apply and all vehicles will be subject to search.

Phone the office of Karen Flood, (845-647-2477) a minimum of 72 hours in advance of the date to provide the names of those who will attend the pre-bid site visit.

Pursuant to New York State Executive Law Article 15-A and the rules and regulations promulgated thereunder, OGS is required to promote opportunities for the maximum feasible participation of New York State-certified Minority- and Women-owned Business Enterprises ("MWBEs") and the employment of minority group members and women in the performance of OGS contracts. All bidders are expected to cooperate in implementing this policy. OGS hereby establishes an overall goal of 30% for MWBE participation, 15% for Minority-Owned Business Enterprises ("MBE") participation and 15% for Women-Owned Business Enterprises ("WBE") participation (based on the current availability of qualified MBEs and WBEs) for Construction Work, Plumbing Work and Electrical Work. The total contract goal can be obtained by utilizing any combination of MBE and /or WBE participation for subcontracting and supplies acquired under this Contract.

The Office of General Services reserves the right to reject any or all bids.

The Bidding and Contract Documents for this Project are available on compact disc (CD) only, and may be obtained for an \$8.00 deposit per set, plus a \$2.00 per set shipping and handling fee. Pursuant to State Finance Law § 143(1), effective January 11, 2020, the required deposit will be waived upon request by any Minority- and Women-Owned Business Enterprise certified pursuant to Article 15-A of the Executive Law or any Service-Disabled Veteran-Owned Business Enterprise certified pursuant to Article 17-B of the Executive Law. Contractors and other interested parties can order CD's on-line through a secure web interface available 24 hours a day, 7 days a week. Please use the following link at the OGS website for ordering and payment instructions: <https://online.ogs.ny.gov/dnc/contractorConsultant/esb/ESBPlansAvailableIndex.asp>

For questions about purchase of bid documents, please send an e-mail to DCPlans@ogs.ny.gov, or call (518) 474-0203.

For additional information on this project, please use the link below and then click on the project number: <https://online.ogs.ny.gov/dnc/contractorConsultant/esb/ESBPlansAvailableIndex.asp>

By *John D. Lewyckyj*, Deputy Director
OGS - Design & Construction Group

CONSTRUCTION WORK

Taconic Correctional Facility
Bedford Hills, Westchester County

Sealed bids for Project No. 45861-C, comprising of a contract for Construction Work, Taconic Correctional Facility, 250 Harris Road, Bedford Hills (Westchester County), NY, will be received by the Office of General Services (OGS), Design & Construction Group (D&C), Division of Contract Management, 35th Fl., Corning Tower, Empire State Plaza, Albany, NY 12242, on behalf of the Department of Corrections, until 2:00 p.m. on Wednesday, March 25, 2020, when they will be publicly opened and read. Each bid must be prepared and submitted in accordance with the Instructions to Bidders and must be

accompanied by a bid security (i.e. certified check, bank check, or bid bond in the amount of \$40,100.00 for C).

All successful bidders will be required to furnish a Performance Bond and a Labor and Material Bond pursuant to Sections 136 and 137 of the State Finance Law, each for 100% of the amount of the Contract estimated to be between \$1,000,000 and \$2,000,000 for C.

Pursuant to State Finance Law §§ 139-j and 139-k, this solicitation includes and imposes certain restrictions on communications between OGS D&C and a bidder during the procurement process. A bidder is restricted from making contacts from the earliest posting, on the OGS website, in a newspaper of general circulation, or in the Contract Reporter of written notice, advertisement or solicitation of offers through final award and approval of the contract by OGS D&C and the Office of the State Comptroller ("Restricted Period") to other than designated staff unless it is a contact that is included among certain statutory exceptions set forth in State Finance Law § 139-j(3)(a). Designated staff are John Pupons, Jessica Hoffman and Pierre Alric in the Division of Contract Management, telephone (518) 474-0203, fax (518) 473-7862 and John Lewyckyj, Deputy Director, Design & Construction Group, telephone (518) 474-0201, fax (518) 486-1650. OGS D&C employees are also required to obtain certain information when contacted during the restricted period and make a determination of the responsibility of the bidder pursuant to these two statutes. Certain findings of non-responsibility can result in rejection for contract award and in the event of two findings within a four-year period, the bidder is debarred from obtaining governmental Procurement Contracts. Bidders responding to this Advertisement must familiarize themselves with the State Finance Law requirements and will be expected to affirm that they understand and agree to comply on the bid form. Further information about these requirements can be found within the project manual or at: <http://www.ogs.ny.gov/aboutOGS/regulations/defaultAdvisoryCouncil.html>

The substantial completion date for this project is 185 days after the Agreement is approved by the Comptroller.

Pursuant to Public Buildings Law § 8(6), effective January 11, 2020, for any projects where the project design commenced on or after January 1, 2020 and for any contracts over \$5,000 for the work of construction, reconstruction, alteration, repair, or improvement of any State building, a responsible and reliable NYS-certified Minority or Women-Owned Business Enterprise that submits a bid within ten percent of the lowest bid will be deemed the apparent low bidder provided that the bid is \$1,400,000 or less, as adjusted annually for inflation beginning January 1, 2020. If more than one responsible and reliable MWBE firm meets these requirements, the MWBE firm with the lowest bid will be deemed the apparent low bidder.

XX Project commenced design before January 1, 2020. Not subject to provision.

— Project commenced design on or after January 1, 2020. Subject to provision.

The only time prospective bidders will be allowed to visit the job site to take field measurements and examine existing conditions of the project area will be at 10:00 a.m. on March 19, 2020 at the Bedford Hills Correctional Facility, 247 Harris Rd, Bedford Hills, NY 10507. Prospective bidders are urged to visit the site at this time. Prospective bidders or their representatives attending the pre-bid site visit will not be admitted on facility grounds without proper photo identification. Note that parking restrictions and security provisions will apply and all vehicles will be subject to search.

Phone the office of Rebecca Maduro, (914) 666-0889 a minimum of 72 hours in advance of the date to provide the names of those who will attend the pre-bid site visit.

Pursuant to New York State Executive Law Article 15-A and the rules and regulations promulgated thereunder, OGS is required to promote opportunities for the maximum feasible participation of New York State-certified Minority- and Women-owned Business Enterprises ("MWBEs") and the employment of minority group members and women in the performance of OGS contracts. All bidders are expected to cooperate in implementing this policy. OGS hereby establishes an overall goal of 30% for MWBE participation, 15% for Minority-Owned Business Enterprises ("MBE") participation and

15% for Women-Owned Business Enterprises ("WBE") participation (based on the current availability of qualified MBEs and WBEs). The total contract goal can be obtained by utilizing any combination of MBE and /or WBE participation for subcontracting and supplies acquired under this Contract.

The Office of General Services reserves the right to reject any or all bids.

The Bidding and Contract Documents for this Project are available on compact disc (CD) only, and may be obtained for an \$8.00 deposit per set, plus a \$2.00 per set shipping and handling fee. Pursuant to State Finance Law § 143(1), effective January 11, 2020, the required deposit will be waived upon request by any Minority- and Women-Owned Business Enterprise certified pursuant to Article 15-A of the Executive Law or any Service-Disabled Veteran-Owned Business Enterprise certified pursuant to Article 17-B of the Executive Law. Contractors and other interested parties can order CD's on-line through a secure web interface available 24 hours a day, 7 days a week. Please use the following link at the OGS website for ordering and payment instructions: <https://online.ogs.ny.gov/dnc/contractorConsultant/esb/ESBPlansAvailableIndex.asp>

For questions about purchase of bid documents, please send an e-mail to DCPlans@ogs.ny.gov, or call (518) 474-0203.

For additional information on this project, please use the link below and then click on the project number: <https://online.ogs.ny.gov/dnc/contractorConsultant/esb/ESBPlansAvailableIndex.asp>

By *John D. Lewyckyj, Deputy Director*
OGS - Design & Construction Group

PROVIDE
MASONRY REPAIR
Sing Sing Correctional Facility
Ossining, Westchester County

Sealed bids for Project No. 45862-C, comprising a contract for Construction Work, Provide Masonry Repair, Perimeter Wall, Sing Sing Correctional Facility, 354 Hunter Street, Ossining (Westchester County), NY, will be received by the Office of General Services (OGS), Design & Construction Group (D&C), Division of Contract Management, 35th Fl., Corning Tower, Empire State Plaza, Albany, NY 12242, on behalf of the Department of Correctional Services, until 2:00 p.m. on Tuesday, March 31st, 2020 when they will be publicly opened and read. Each bid must be prepared and submitted in accordance with the Instructions to Bidders and must be accompanied by a bid security (i.e. certified check, bank check, or bid bond in the amount of \$82,100).

All successful bidders will be required to furnish a Performance Bond and a Labor and Material Bond in the statutory form of public bonds required by Sections 136 and 137 of the State Finance Law, each for 100% of the amount of the Contract estimated to be between \$2,000,000 and \$3,000,000 for C.

Pursuant to State Finance Law §§ 139-j and 139-k, this solicitation includes and imposes certain restrictions on communications between OGS D&C and a bidder during the procurement process. A bidder is restricted from making contacts from the earliest posting, on the OGS website, in a newspaper of general circulation, or in the Contract Reporter of written notice, advertisement or solicitation of offers through final award and approval of the contract by OGS D&C and the Office of the State Comptroller ("Restricted Period") to other than designated staff unless it is a contact that is included among certain statutory exceptions set forth in State Finance Law 139-j(3)(a). Designated staff are John Pupons, Jessica Hoffman and Pierre Alric in the Division of Contract Management, telephone (518) 474-0203, fax (518) 473-7862 and John Lewyckyj, Deputy Director, Design & Construction Group, telephone (518) 474-0201, fax (518) 486-1650. OGS D&C employees are also required to obtain certain information when contacted during the restricted period and make a determination of the responsibility of the bidder pursuant to these two statutes. Certain findings of non-responsibility can result in rejection for

contract award and in the event of two findings within a four-year period, the bidder is debarred from obtaining governmental Procurement Contracts. Bidders responding to this Advertisement must familiarize themselves with the State Finance Law requirements and will be expected to affirm that they understand and agree to comply on the bid form. Further information about these requirements can be found within the project manual or at: <http://www.ogs.ny.gov/aboutOGS/regulations/defaultAdvisoryCouncil.html>

The substantial completion date for this project is 1,095 days after the Agreement is approved by the Comptroller.

Pursuant to Public Buildings Law § 8(6), effective January 11, 2020, for any projects where the project design commenced on or after January 1, 2020 and for any contracts over \$5,000 for the work of construction, reconstruction, alteration, repair, or improvement of any State building, a responsible and reliable NYS-certified Minority or Women-Owned Business Enterprise that submits a bid within ten percent of the lowest bid will be deemed the apparent low bidder provided that the bid is \$1,400,000 or less, as adjusted annually for inflation beginning January 1, 2020. If more than one responsible and reliable MWBE firm meets these requirements, the MWBE firm with the lowest bid will be deemed the apparent low bidder.

XX Project commenced design before January 1, 2020. Not subject to provision.

— Project commenced design on or after January 1, 2020. Subject to provision.

The only time prospective bidders will be allowed to visit the job site to take field measurements and examine existing conditions of the project area will be 9:00 a.m. on March 23, 2020 at the OGS Field Office, 130 State Street, Ossining NY. Prospective bidders are urged to visit the site at this time. Prospective bidders or their representatives attending the pre-bid site visit will not be admitted on facility grounds without proper photo identification. Note that parking restrictions and security provisions will apply and all vehicles will be subject to search.

Phone the office of Allison Krebs-Fogel, (914-941-1122) a minimum of 72 hours in advance of the date to provide the names of those who will attend the pre-bid site visit.

Pursuant to New York State Executive Law Article 15-A and the rules and regulations promulgated thereunder, OGS is required to promote opportunities for the maximum feasible participation of New York State-certified Minority- and Women-owned Business Enterprises ("MWBEs") and the employment of minority group members and women in the performance of OGS contracts. All bidders are expected to cooperate in implementing this policy. OGS hereby establishes an overall goal of 30% for MWBE participation, 15% for Minority-Owned Business Enterprises ("MBE") participation and 15% for Women-Owned Business Enterprises ("WBE") participation (based on the current availability of qualified MBEs and WBEs). The total contract goal can be obtained by utilizing any combination of MBE and /or WBE participation for subcontracting and supplies acquired under this Contract.

The Office of General Services reserves the right to reject any or all bids.

The Bidding and Contract Documents for this Project are available on compact disc (CD) only, and may be obtained for an \$8.00 deposit per set, plus a \$2.00 per set shipping and handling fee. Pursuant to State Finance Law § 143(1), effective January 11, 2020, the required deposit will be waived upon request by any Minority- and Women-Owned Business Enterprise certified pursuant to Article 15-A of the Executive Law or any Service-Disabled Veteran-Owned Business Enterprise certified pursuant to Article 17-B of the Executive Law. Contractors and other interested parties can order CD's on-line through a secure web interface available 24 hours a day, 7 days a week. Please use the following link at the OGS website for ordering and payment instructions: <https://online.ogs.ny.gov/dnc/contractorConsultant/esb/ESBPlansAvailableIndex.asp>

For questions about purchase of bid documents, please send an e-mail to DCPlans@ogs.ny.gov, or call (518) 474-0203.

For additional information on this project, please use the link below and then click on the project number: <https://online.ogs.ny.gov/dnc/contractorConsultant/esb/ESBPlansAvailableIndex.asp>

By John D. Lewyckyj, Deputy Director
OGS - Design & Construction Group

PROVIDE MAINTENANCE SUBHEADQUARTERS Norfolk, St. Lawrence County

Sealed bids for Project Nos. 45879-C, 45879-H, 45789-P, and 45789-E, comprising separate contracts for Construction Work, HVAC Work, Plumbing Work, and Electrical Work, Provide Maintenance Subheadquarters and 2,000 Ton Salt Storage Structure, 9589 State Route 56, Norfolk, (St Lawrence County), NY, will be received by the Office of General Services (OGS), Design & Construction Group (D&C), Division of Contract Management, 35th Fl., Corning Tower, Empire State Plaza, Albany, NY 12242, on behalf of the Department of Transportation, until 2:00 p.m. on Wednesday, March 25, 2020, when they will be publicly opened and read. Each bid must be prepared and submitted in accordance with the Instructions to Bidders and must be accompanied by a bid security (i.e. certified check, bank check, or bid bond in the amount of \$95,900 for C, \$37,500 for H, \$33,400 for P, and \$31,600 for E).

All successful bidders will be required to furnish a Performance Bond and a Labor and Material Bond pursuant to Sections 136 and 137 of the State Finance Law, each for 100% of the amount of the Contract estimated to be between \$3,000,000 and \$4,000,000 for C, between \$500,000 and \$1,000,000 for H, between \$250,000 and \$500,000 for P, and between \$500,000 and \$1,000,000 for E.

Pursuant to State Finance Law §§ 139-j and 139-k, this solicitation includes and imposes certain restrictions on communications between OGS D&C and a bidder during the procurement process. A bidder is restricted from making contacts from the earliest posting, on the OGS website, in a newspaper of general circulation, or in the Contract Reporter of written notice, advertisement or solicitation of offers through final award and approval of the contract by OGS D&C and the Office of the State Comptroller ("Restricted Period") to other than designated staff unless it is a contact that is included among certain statutory exceptions set forth in State Finance Law § 139-j(3)(a). Designated staff are John Pupons, Jessica Hoffman and Pierre Alric in the Division of Contract Management, telephone (518) 474-0203, fax (518) 473-7862 and John Lewyckyj, Deputy Director, Design & Construction Group, telephone (518) 474-0201, fax (518) 486-1650. OGS D&C employees are also required to obtain certain information when contacted during the restricted period and make a determination of the responsibility of the bidder pursuant to these two statutes. Certain findings of non-responsibility can result in rejection for contract award and in the event of two findings within a four-year period, the bidder is debarred from obtaining governmental Procurement Contracts. Bidders responding to this Advertisement must familiarize themselves with the State Finance Law requirements and will be expected to affirm that they understand and agree to comply on the bid form. Further information about these requirements can be found within the project manual or at: <http://www.ogs.ny.gov/aboutOGS/regulations/defaultAdvisoryCouncil.html>

Pursuant to Public Buildings Law § 8(6), effective January 11, 2020, for any projects where the project design commenced on or after January 1, 2020 and for any contracts over \$5,000 for the work of construction, reconstruction, alteration, repair, or improvement of any State building, a responsible and reliable NYS-certified Minority or Women-Owned Business Enterprise that submits a bid within ten percent of the lowest bid will be deemed the apparent low bidder provided that the bid is \$1,400,000 or less, as adjusted annually for inflation beginning January 1, 2020. If more than one responsible and reliable MWBE firm meets these requirements, the MWBE firm with the lowest bid will be deemed the apparent low bidder.

XX Project commenced design before January 1, 2020. Not subject to provision.

___ Project commenced design on or after January 1, 2020. Subject to provision.

As a condition of award, within 48 hours of receipt of the proposed Contract Agreement from the State, the apparent low bidder shall return the Contract Agreement to the State, properly executed, along with the Bonds if required by said Agreement. Low bidders who cannot meet these provisions may be subject to disqualification and forfeiture of the bid security.

The State intends to expedite award of this Contract and the Contractor shall be prepared to proceed with the Work accordingly. Bidders are warned that time is of the essence of the Contract and substantial completion of the Work must be within 499 days after the Agreement is approved by the Comptroller. Due to the tightness of the construction schedule, bidders should consider the necessity for an increased work force and shift operations.

The State intends to expedite award of this Contract and the Contractor shall be prepared to proceed with the Work accordingly. Bidders are warned that time is of the essence of the Contract and completion of the Work must be within the time stated in Section 011000 of the Specifications. Due to the tightness of the construction schedule, Bidders should consider the necessity for any increased work force and shift operations.

The only time prospective bidders will be allowed to visit the job site to take field measurements and examine existing conditions of the project area will be at 10:00 a.m. on March 19, 2020 at 9589 State Route 56, Norfolk, NY 13667. Prospective bidders are urged to visit the site at this time. Prospective bidders or their representatives attending the pre-bid site visit will not be admitted on facility grounds without proper photo identification. Note that parking restrictions and security provisions will apply and all vehicles will be subject to search.

Phone the office of Jordan Marsh, (518) 483-8170 EXT. 105 a minimum of 48 hours in advance of the date to provide the names of those who will attend the pre-bid site visit.

Pursuant to New York State Executive Law Article 15-A and the rules and regulations promulgated thereunder, OGS is required to promote opportunities for the maximum feasible participation of New York State-certified Minority- and Women-owned Business Enterprises ("MWBEs") and the employment of minority group members and women in the performance of OGS contracts. All bidders are expected to cooperate in implementing this policy. OGS hereby establishes an overall goal of 30% for MWBE participation, 15% for Minority-Owned Business Enterprises ("MBE") participation and 15% for Women-Owned Business Enterprises ("WBE") participation (based on the current availability of qualified MBEs and WBEs) for Construction Work, an overall goal of 30% for MWBE participation, 15% for Minority-Owned Business Enterprises ("MBE") participation and 15% for Women-Owned Business Enterprises ("WBE") participation (based on the current availability of qualified MBEs and WBEs) for HVAC Work, an overall goal of 30% for MWBE participation, 15% for Minority-Owned Business Enterprises ("MBE") participation and 15% for Women-Owned Business Enterprises ("WBE") participation (based on the current availability of qualified MBEs and WBEs) for Plumbing Work, an overall goal of 30% for MWBE participation, 15% for Minority-Owned Business Enterprises ("MBE") participation and 15% for Women-Owned Business Enterprises ("WBE") participation (based on the current availability of qualified MBEs and WBEs) for Electrical work. The total contract goal can be obtained by utilizing any combination of MBE and /or WBE participation for subcontracting and supplies acquired under this Contract.

The Office of General Services reserves the right to reject any or all bids.

The Bidding and Contract Documents for this Project are available on compact disc (CD) only, and may be obtained for an \$8.00 deposit per set, plus a \$2.00 per set shipping and handling fee. Pursuant to State Finance Law § 143(1), effective January 11, 2020, the required deposit will be waived upon request by any Minority- and Women-Owned Business Enterprise certified pursuant to Article 15-A of the Executive Law or any Service-Disabled Veteran-Owned Business Enterprise certified pursuant to Article 17-B of the Executive Law. Contractors and other interested parties can order CD's on-line

through a secure web interface available 24 hours a day, 7 days a week. Please use the following link at the OGS website for ordering and payment instructions: <https://online.ogs.ny.gov/dnc/contractorConsultant/esb/ESBPlansAvailableIndex.asp>

For questions about purchase of bid documents, please send an e-mail to DCPlans@ogs.ny.gov, or call (518) 474-0203.

For additional information on this project, please use the link below and then click on the project number: <https://online.ogs.ny.gov/dnc/contractorConsultant/esb/ESBPlansAvailableIndex.asp>

By John D. Lewycky, Deputy Director
OGS - Design & Construction Group

PROVIDE
CLASSROOMS/OFFICE SPACE
Orleans Correctional Facility
Albion, Orleans County

Sealed bids for Project Nos. 46134-C, 46134-E, 46134-H and 46134-P, comprising separate contracts for Construction Work, Electrical Work, HVAC Work, and Plumbing Work to Provide Classrooms & Office Space, Building 34, Residential Rehabilitation Unit, Orleans Correctional Facility, 3531 Gaines Basin Rd, Albion (Orleans County), NY, will be received by the Office of General Services (OGS), Design & Construction Group (D&C), Division of Contract Management, 35th Fl., Corning Tower, Empire State Plaza, Albany, NY 12242, on behalf of the Department of Correctional Services, until 2:00 p.m. on Wednesday, March 25th, 2020 when they will be publicly opened and read. Each bid must be prepared and submitted in accordance with the Instructions to Bidders and must be accompanied by a certified check, bank check, or bid bond in the amount of \$87,400 for C, \$23,800 for E, \$29,100 for H, and \$22,700 for P.

All successful bidders will be required to furnish a Performance Bond and a Labor and Material Bond in the statutory form of public bonds required by Sections 136 and 137 of the State Finance Law, each for 100% of the amount of the Contract estimated to be between \$3,000,000 and \$4,000,000 for C, between \$500,000 and \$1,000,000 for E, between \$500,000 and \$1,000,000 for H, and between \$500,000 and \$1,000,000 for P.

Pursuant to State Finance Law §§ 139-j and 139-k, this solicitation includes and imposes certain restrictions on communications between OGS D&C and a bidder during the procurement process. A bidder is restricted from making contacts from the earliest posting, on the OGS website, in a newspaper of general circulation, or in the Contract Reporter of written notice, advertisement or solicitation of offers through final award and approval of the contract by OGS D&C and the Office of the State Comptroller ("Restricted Period") to other than designated staff unless it is a contact that is included among certain statutory exceptions set forth in State Finance Law § 139-j(3)(a). Designated staff are John Pupons, Jessica Hoffman and Pierre Alric in the Division of Contract Management, telephone (518) 474-0203, fax (518) 473-7862 and John Lewycky, Deputy Director, Design & Construction Group, telephone (518) 474-0201, fax (518) 486-1650. OGS D&C employees are also required to obtain certain information when contacted during the restricted period and make a determination of the responsibility of the bidder pursuant to these two statutes. Certain findings of non-responsibility can result in rejection for contract award and in the event of two findings within a four-year period, the bidder is debarred from obtaining governmental Procurement Contracts. Bidders responding to this Advertisement must familiarize themselves with the State Finance Law requirements and will be expected to affirm that they understand and agree to comply on the bid form. Further information about these requirements can be found within the project manual or at: <http://www.ogs.ny.gov/aboutOGS/regulations/defaultAdvisoryCouncil.html>

Pursuant to Public Buildings Law § 8(6), effective January 11, 2020, for any projects where the project design commenced on or after January 1, 2020 and for any contracts over \$5,000 for the work of construction, reconstruction, alteration, repair, or improvement of any State building, a responsible and reliable NYS-certified Minority or

Women-Owned Business Enterprise that submits a bid within ten percent of the lowest bid will be deemed the apparent low bidder provided that the bid is \$1,400,000 or less, as adjusted annually for inflation beginning January 1, 2020. If more than one responsible and reliable MWBE firm meets these requirements, the MWBE firm with the lowest bid will be deemed the apparent low bidder.

XX Project commenced design before January 1, 2020. Not subject to provision.

___ Project commenced design on or after January 1, 2020. Subject to provision.

As a condition of award, within 48 hours of receipt of the proposed Contract Agreement from the State, the low bidder shall return the Contract Agreement to the State, properly executed, along with the Bonds if required by said Agreement. Low bidders who cannot meet these provisions may be subject to disqualification and forfeiture of the bid security.

The State intends to expedite award of this Contract and the Contractor shall be prepared to proceed with the Work accordingly. Bidders are warned that time is of the essence of the Contract and substantial completion of the Work must be within 444 days after the Agreement is approved by the Comptroller. Due to the tightness of the construction schedule, bidders should consider the necessity for an increased work force and shift operations.

The only time prospective bidders will be allowed to visit the job site to take field measurements and examine existing conditions of the project area will be at 10:00 a.m. on March 17, 2020 at the OGS Field Office, 3571 State School Road, Albion, NY. Prospective bidders are urged to visit the site at this time. Prospective bidders or their representatives attending the pre-bid site visit will not be admitted on facility grounds without proper photo identification. Note that parking restrictions and security provisions will apply and all vehicles will be subject to search.

Phone the office of Corey Stalker (585-589-4854) a minimum of 72 hours in advance of the date to provide the names of those who will attend the pre-bid site visit.

Pursuant to New York State Executive Law Article 15-A and the rules and regulations promulgated thereunder, OGS is required to promote opportunities for the maximum feasible participation of New York State-certified Minority- and Women-owned Business Enterprises ("MWBEs") and the employment of minority group members and women in the performance of OGS contracts. All bidders are expected to cooperate in implementing this policy. OGS hereby establishes an overall goal of 30% for MWBE participation, 15% for Minority-Owned Business Enterprises ("MBE") participation and 15% for Women-Owned Business Enterprises ("WBE") participation (based on the current availability of qualified MBEs and WBEs) for Construction, HVAC and Plumbing Work and an overall goal of 4% for MWBE participation, 2% for Minority-Owned Business Enterprises ("MBE") participation and 2% for Women-Owned Business Enterprises ("WBE") participation (based on the current availability of qualified MBEs and WBEs) for Electrical. The total contract goal can be obtained by utilizing any combination of MBE and /or WBE participation for subcontracting and supplies acquired under this Contract.

The Office of General Services reserves the right to reject any or all bids.

The Bidding and Contract Documents for this Project are available on compact disc (CD) only, and may be obtained for an \$8.00 deposit per set, plus a \$2.00 per set shipping and handling fee. Pursuant to State Finance Law § 143(1), effective January 11, 2020, the required deposit will be waived upon request by any Minority- and Women-Owned Business Enterprise certified pursuant to Article 15-A of the Executive Law or any Service-Disabled Veteran-Owned Business Enterprise certified pursuant to Article 17-B of the Executive Law. Contractors and other interested parties can order CD's on-line through a secure web interface available 24 hours a day, 7 days a week. Please use the following link at the OGS website for ordering and payment instructions: <https://online.ogs.ny.gov/dnc/contractorConsultant/esb/ESBPlansAvailableIndex.asp>

For questions about purchase of bid documents, please send an e-mail to DCPlans@ogs.ny.gov, or call (518) 474-0203.

For additional information on this project, please use the link below and then click on the project number: <https://online.ogs.ny.gov/dnc/contractorConsultant/esb/ESBPlansAvailableIndex.asp>

By *John D. Lewyckyj, Deputy Director*
OGS - Design & Construction Group

PROVIDE
CLASSROOMS/OFFICE SPACE
Upstate Correctional Facility
Malone, Franklin County

Sealed bids for Project Nos. 46136-C, 46136-E, 46136-H and 46136-P, comprising separate contracts for Construction Work, Electrical Work, HVAC Work, and Plumbing Work to Provide Classrooms & Office Space, 2nd Floor, Buildings 8, 10 & 11, Residential Rehabilitation Unit, Upstate Correctional Facility, 309 Bare Hill Road P. O. Box 2000, Malone (Franklin County), NY, will be received by the Office of General Services (OGS), Design & Construction Group (D&C), Division of Contract Management, 35th Fl., Corning Tower, Empire State Plaza, Albany, NY 12242, on behalf of the Department of Correctional Services, until 2:00 p.m. on Wednesday, March 25th, 2020 when they will be publicly opened and read. Each bid must be prepared and submitted in accordance with the Instructions to Bidders and must be accompanied by a certified check, bank check, or bid bond in the amount of \$320,600 for C, \$100,400 for E, \$88,700 for H, and \$80,500 for P.

All successful bidders will be required to furnish a Performance Bond and a Labor and Material Bond in the statutory form of public bonds required by Sections 136 and 137 of the State Finance Law, each for 100% of the amount of the Contract estimated to be between \$12,000,000 and \$13,000,000 for C, between \$4,000,000 and \$5,000,000 for E, between \$2,000,000 and \$3,000,000 for H, and between \$2,000,000 and \$3,000,000 for P.

Pursuant to State Finance Law §§ 139-j and 139-k, this solicitation includes and imposes certain restrictions on communications between OGS D&C and a bidder during the procurement process. A bidder is restricted from making contacts from the earliest posting, on the OGS website, in a newspaper of general circulation, or in the Contract Reporter of written notice, advertisement or solicitation of offers through final award and approval of the contract by OGS D&C and the Office of the State Comptroller ("Restricted Period") to other than designated staff unless it is a contact that is included among certain statutory exceptions set forth in State Finance Law § 139-j(3)(a). Designated staff are John Pupons, Jessica Hoffman and Pierre Alric in the Division of Contract Management, telephone (518) 474-0203, fax (518) 473-7862 and John Lewyckyj, Deputy Director, Design & Construction Group, telephone (518) 474-0201, fax (518) 486-1650. OGS D&C employees are also required to obtain certain information when contacted during the restricted period and make a determination of the responsibility of the bidder pursuant to these two statutes. Certain findings of non-responsibility can result in rejection for contract award and in the event of two findings within a four-year period, the bidder is debarred from obtaining governmental Procurement Contracts. Bidders responding to this Advertisement must familiarize themselves with the State Finance Law requirements and will be expected to affirm that they understand and agree to comply on the bid form. Further information about these requirements can be found within the project manual or at: <http://www.ogs.ny.gov/aboutOGS/regulations/defaultAdvisoryCouncil.html>

Pursuant to Public Buildings Law § 8(6), effective January 11, 2020, for any projects where the project design commenced on or after January 1, 2020 and for any contracts over \$5,000 for the work of construction, reconstruction, alteration, repair, or improvement of any State building, a responsible and reliable NYS-certified Minority or Women-Owned Business Enterprise that submits a bid within ten percent of the lowest bid will be deemed the apparent low bidder provided that the bid is \$1,400,000 or less, as adjusted annually for inflation beginning January 1, 2020. If more than one responsible and reliable MWBE firm meets these requirements, the MWBE firm with the lowest bid will be deemed the apparent low bidder.

XX Project commenced design before January 1, 2020. Not subject to provision.

— Project commenced design on or after January 1, 2020. Subject to provision.

As a condition of award, within 48 hours of receipt of the proposed Contract Agreement from the State, the low bidder shall return the Contract Agreement to the State, properly executed, along with the Bonds if required by said Agreement. Low bidders who cannot meet these provisions may be subject to disqualification and forfeiture of the bid security.

The State intends to expedite award of this Contract and the Contractor shall be prepared to proceed with the Work accordingly. Bidders are warned that time is of the essence of the Contract and substantial completion of the Work must be within 618 days after the Agreement is approved by the Comptroller. Due to the tightness of the construction schedule, bidders should consider the necessity for an increased work force and shift operations.

The only time prospective bidders will be allowed to visit the job site to take field measurements and examine existing conditions of the project area will be at 9:00 a.m. on March 16, 2020 at the Upstate Correctional Facility, 309 Bare Hill Road, Training Building, Malone NY. Prospective bidders are urged to visit the site at this time. Prospective bidders or their representatives attending the pre-bid site visit will not be admitted on facility grounds without proper photo identification. Note that parking restrictions and security provisions will apply and all vehicles will be subject to search.

Phone the office of Jordan Marsh, (518-483-8170) a minimum of 72 hours in advance of the date to provide the names of those who will attend the pre-bid site visit.

Pursuant to New York State Executive Law Article 15-A and the rules and regulations promulgated thereunder, OGS is required to promote opportunities for the maximum feasible participation of New York State-certified Minority- and Women-owned Business Enterprises ("MWBEs") and the employment of minority group members and women in the performance of OGS contracts. All bidders are expected to cooperate in implementing this policy. OGS hereby establishes an overall goal of 30% for MWBE participation, 15% for Minority-Owned Business Enterprises ("MBE") participation and 15% for Women-Owned Business Enterprises ("WBE") participation (based on the current availability of qualified MBEs and WBEs) for Construction and HVAC Work and an overall goal of 4% for MWBE participation, 2% for Minority-Owned Business Enterprises ("MBE") participation and 2% for Women-Owned Business Enterprises ("WBE") participation (based on the current availability of qualified MBEs and WBEs) for Electrical Work and an overall goal of 14% for MWBE participation, 7% for Minority-Owned Business Enterprises ("MBE") participation and 7% for Women-Owned Business Enterprises ("WBE") participation (based on the current availability of qualified MBEs and WBEs) for Plumbing Work. The total contract goal can be obtained by utilizing any combination of MBE and /or WBE participation for subcontracting and supplies acquired under this Contract.

The Office of General Services reserves the right to reject any or all bids.

The Bidding and Contract Documents for this Project are available on compact disc (CD) only, and may be obtained for an \$8.00 deposit per set, plus a \$2.00 per set shipping and handling fee. Pursuant to State Finance Law § 143(1), effective January 11, 2020, the required deposit will be waived upon request by any Minority- and Women-Owned Business Enterprise certified pursuant to Article 15-A of the Executive Law or any Service-Disabled Veteran-Owned Business Enterprise certified pursuant to Article 17-B of the Executive Law. Contractors and other interested parties can order CD's on-line through a secure web interface available 24 hours a day, 7 days a week. Please use the following link at the OGS website for ordering and payment instructions: <https://online.ogs.ny.gov/dnc/contractorConsultant/esb/ESBPlansAvailableIndex.asp>

For questions about purchase of bid documents, please send an e-mail to DCPlans@ogs.ny.gov, or call (518) 474-0203.

For additional information on this project, please use the link below

and then click on the project number: <https://online.ogs.ny.gov/dnc/contractorConsultant/esb/ESBPlansAvailableIndex.asp>

By John D. Lewyckyj, Deputy Director
OGS - Design & Construction Group

NOTICE OF AVAILABILITY OF STATE AND FEDERAL FUNDS

Division of Homeland Security and Emergency
Services

1220 Washington Ave.
State Office Bldg. Campus, Bldg. 7A
Albany, NY 12242

NONPROFIT ORGANIZATIONS

Federal Fiscal Year 2020 Nonprofit Security Grant Program - Urban Area (NSGP-UA) and Nonprofit Security Grant Program - State (NSGP-S)

Description:

Request for Applications (RFA) for up to \$100,000 in federal NSGP-UA funding and up to \$100,000 in federal NSGP-S funding is being made available by the NYS Division of Homeland Security and Emergency Services (DHSES) from the U.S. Department of Homeland Security Federal Emergency Management Agency. There is a total of \$50 million nationally for the NSGP-UA program and \$40 million nationally, with NYS having a target allocation of \$1.2 million, for the NSGP-S program. Funds will be awarded competitively based on the submission of applications by eligible nonprofit organizations. If your nonprofit facility is physically located within a FY 2020 UASI-designated urban area, then you may apply to NSGP-UA; in NYS, organizations who are located in the NYC Urban Area which includes: the five boroughs in New York City, Nassau County, Suffolk County and Westchester County are eligible to apply under NSGP-UA. If your nonprofit facility is not physically located within the NYC urban area, then you may apply to NSGP-S. You may not apply to both programs.

Funding will be awarded to support target hardening activities to nonprofit organizations (as described under section 501(c)(3) of the Internal Revenue Code of 1986 and exempt from tax under section 501(a) of such Code) that are at high risk of terrorist attack due to their ideology, beliefs, or mission. NSGP provides funding for physical security enhancements and other security-related activities to nonprofit organizations that are at high risk of a terrorist attack. The NSGP also seeks to integrate the preparedness activities of nonprofit organizations with broader state and local preparedness efforts.

Due to the competitive nature of this program, funding preference will be given to nonprofit organizations that have not received prior years funding under NSGP.

Applications must be submitted by 5:00 p.m. on April 2, 2020, through New York State's Division of Homeland Security and Emergency Services (NYS-DHSES) electronic grants management system (E-Grants).

MISCELLANEOUS NOTICES/HEARINGS

Notice of Abandoned Property Received by the State Comptroller

Pursuant to provisions of the Abandoned Property Law and related laws, the Office of the State Comptroller receives unclaimed monies and other property deemed abandoned. A list of the names and last known addresses of the entitled owners of this abandoned property is maintained by the office in accordance with Section 1401 of the Abandoned Property Law. Interested parties may inquire if they appear on the Abandoned Property Listing by contacting the Office of Unclaimed Funds, Monday through Friday from 8:00 a.m. to 4:30 p.m., at:

1-800-221-9311
or visit our web site at:
www.osc.state.ny.us

Claims for abandoned property must be filed with the New York State Comptroller's Office of Unclaimed Funds as provided in Section 1406 of the Abandoned Property Law. For further information contact: Office of the State Comptroller, Office of Unclaimed Funds, 110 State St., Albany, NY 12236.

PUBLIC NOTICE

Department of Civil Service

PURSUANT to the Open Meetings Law, the New York State Civil Service Commission hereby gives public notice of the following:

Please take notice that the regular monthly meeting of the State Civil Service Commission for April 2020 will be conducted on April 7 and April 8 commencing at 10:00 a.m. This meeting will be conducted at NYS Media Services Center, Suite 146, South Concourse, Empire State Plaza, Albany, NY with live coverage available at <https://www.cs.ny.gov/commission/>

For further information, contact: Office of Commission Operations, Department of Civil Service, Empire State Plaza, Agency Bldg. One, Albany, NY 12239 (518) 473-6598

PUBLIC NOTICE

Division of Criminal Justice Services

I, Andrew M. Cuomo, Governor of the State of New York, do hereby adopt and promulgate only the following regulations that have been recommended by the Municipal Police Training Council pursuant to the provisions of section eight hundred forty of the Executive Law. This action is taken pursuant to the authority vested in me by section eight hundred forty-two of such law and, as such, it is exempted from the rule making provisions of the State Administrative Procedure Act.

NOW, THEREFORE, be it known that only amendments to Parts 6018 - 6026 of Title 9 of the New York State Official Compilation of Codes, Rules and Regulations, which have been recommended by the Municipal Police Training Council pursuant to the provisions of section eight hundred forty of the Executive Law, are hereby adopted and promulgated and shall be effective upon publication in the State Register.

1. Subdivision (b) of section 6018.1 of 9 NYCRR is amended to read as follows:

(b) The term *course* director shall mean the director or co-director

of [a] *an organization that administers the basic course for correction officers[.]who is responsible for the administration of the course and is certified by the Commissioner as an individual whose qualifications meet or exceed the requirements set forth in section 6023.3-a of this Part.*

2. A new subdivision (e) is added to section 6018.3 of 9 NYCRR to read as follows:

(e) *Only course directors as defined in section 6018.1(b) of this Part may administer a basic course for corrections officers.*

3. Paragraphs (2) and (3) of subdivision (a) of section 6018.4 of 9 NYCRR are amended to read as follows:

(2) a chronological listing of topics; including the date, time and number of hours allotted to each topic; [and]

(3) the names of instructors and the type of instructor certification held by each instructor[.]; and

4. A new paragraph (4) is added to subdivision (a) of 6018.4 of 9 NYCRR to read as follows:

(4) *the name of the course director as defined in section 6018.1(b) of this Part.*

5. Section 6018.5 of 9 NYCRR is amended to read as follows:

(a) Within 10 days after conclusion of a basic course, the *course* director shall forward the course roster to the commissioner, on a form prescribed by the commissioner, listing the names and other information contained in the form and required by the council for all enrollees denoting the performance of respective trainees.

(b) The *course* director shall make written notification, to the commissioner, of any departures from the approved curriculum and shall be responsible for assuring that such changes do not materially change course content.

(c) The *course* director shall ensure that the basic course is conducted in accordance with all applicable standards, policies, and procedures. The *course* director shall establish written directives for the administration of the basic course including, but not limited to, attendance, counseling, remediation, and retesting. The directives shall define the minimum period of time set for remediation and for one or more opportunities for retesting.

(d) The *course* director [or] and sponsoring agency shall be responsible for maintaining accurate records for each basic course. These records must be retained as required by the appropriate schedule for records retention and disposition promulgated by the commissioner of the New York State Education Department. Such records must be available for inspection by members of the council or the commissioner. They include, but are not limited to, lesson plans for each topic inclusive of objectives, officer attendance and performance records, a copy of the curriculum approved for use, and a record of any changes in the curriculum after such approval.

6. Subdivisions (b), (c), (d) and (e) of section 6018.6 of 9 NYCRR are amended to read as follows:

(b) Attendance is required of each correction officer at all sessions of the basic course except for valid reasons. The *course* director is authorized to determine the validity of and excuse absences of not more than 10 percent of the total hours of instruction as provided for in the curriculum of the course. An absentee from any scheduled class session shall make up such absence as required by the *course* director. However, no correction officer may be issued a certificate of comple-

tion without receiving the full program of instruction in firearms, or the defense of justification (use of physical force/deadly physical force).

(c) Each correction officer enrolled in a basic course shall keep a notebook. The notebook shall contain an outline of major points and pertinent information for each topic presented. The *course* director will evaluate notebooks based upon criteria such as, content, organization, regularity of entries, accuracy and legibility.

(d) The taking and passing of written examination(s) is required of each correction officer prior to issuance of a certificate of completion. If a series of examinations is required by the *course* director, the candidate must achieve a total passing average for the series. The *course* director shall assemble examination material, give and supervise the examination(s), and grade the examination(s). The *course* director [or] and sponsoring agency shall retain the examination papers as required by the appropriate schedule for records retention and disposition promulgated by the commissioner of the New York State Education Department. Such records must be available for inspection by members of the council or the commissioner.

(e) Upon certification by a *course* director stating that a correction officer has satisfactorily completed all basic course requirements, the commissioner shall issue a certificate of completion to such correction officer.

7. Subdivision (e) of section 6019.1 of 9 NYCRR is amended to read as follows:

(e) The term *course* director shall mean the director or *co-director* of an organization that administers an approved pre-employment correction training school, or his or her designee[,] *who is responsible for the administration of the school's courses and is certified by the Commissioner as an individual whose qualifications meet or exceed the requirements set forth in section 6023.3-a of this Part.*

8. Subdivision (e) of section 6019.3 of 9 NYCRR is re-lettered to be subdivision (f) and a new subdivision (e) is added to read as follows:

(e) *Only course directors as defined in section 6019.1(e) of this Part may administer a pre-employment corrections basic training course.*

9. Subdivision (a) of section 6019.4 of 9 NYCRR is amended to read as follows:

(a) A pre-employment correction training school must be approved by the commissioner pursuant to this Part prior to conducting a pre-employment correction basic training course. An entity shall not be designated as an approved pre-employment correction training school by the commissioner unless it satisfies all requirements prescribed by the commissioner which shall include, but not be limited to, the certification of the instructors pursuant to Parts 6023 and/or 6024 of this Title and/or the certification of the *course* directors pursuant to Part 6023 of this Title, and any other requirements deemed necessary by the commissioner.

10. Subdivision (d) of section 6019.4 of 9 NYCRR is amended to read as follows:

(d) The [school] *course* director shall file a copy of the school qualifications with the commissioner at least 45 days prior to commencement of a pre-employment correction basic training course. The qualifications shall be in a form and manner prescribed by the commissioner. The commissioner may require any additional information deemed necessary for the purposes of approving a pre-employment correction training school.

11. Subdivision (f) of section 6019.4 of 9 NYCRR is amended to read as follows:

(f) The school shall give written notification to the commissioner as soon as possible if a [school] *course* director ceases to be employed by the pre-employment correction training school and shall, within 30 days of the *course* director's termination of employment, appoint a new [school] *course* director. The school shall provide written notification to the commissioner of the name of the newly appointed [school] *course* director as soon as possible.

12. Subdivision (a) of section 6019.7 of 9 NYCRR is amended to read as follows:

(a) The *course* director shall ensure that a pre-employment correc-

tion basic training course is conducted in accordance with this Part and all applicable standards, policies and procedures.

13. Subdivision (c) of section 6019.7 of 9 NYCRR is amended to read as follows:

(c) The *course* director shall make written notification to the commissioner of any departures from the approved curriculum and shall be responsible for assuring that such changes do not materially change course content.

14. Subdivisions (b), (c), (d) and (e) of section 6019.8 of 9 NYCRR are amended to read as follows:

(b) Attendance is required at all sessions of the pre-employment correction basic training course except for valid reasons. The *course* director is authorized to decide the validity of excuses and excuse absences of not more than 10 percent of the total hours of instruction as provided for in the curriculum of the course. An absentee from any scheduled class session will make up such absence as required by the *course* director.

(c) Each individual enrolled in a pre-employment correction basic training course shall keep a notebook. The notebook shall contain an outline of major points and pertinent information for each topic presented. The *course* director will evaluate notebooks based upon criteria such as, content, organization, regularity of entries, accuracy and legibility.

(d) The taking and passing of written examination(s) with at least a grade of C (70 percent) is required of each individual before a pre-employment correction basic training course for correction officers is successfully completed. The *course* director will assemble examination material, give and supervise examination(s), and grade the examination(s). The college, twoyear college, or university shall retain the examination papers as required by the appropriate schedule for records retention and disposition promulgated by the Commissioner of Education. Such records must be available for inspection by the commissioner.

(e) Within 10 days after conclusion of a basic course, the *course* director shall forward the course roster to the commissioner denoting the performance of respective trainees.

15. Subdivision (b) of section 6020.1 of 9 NYCRR is amended to read as follows:

(b) The term *course* director shall mean the director or *co-director* of a basic course for police officers[.] *who is responsible for the administration of the course and is certified by the Commissioner as an individual whose qualifications meet or exceed the requirements set forth in section 6023.3-a of this Title.*

16. 6020.3 of 9 NYCRR is amended to read as follows:

(a) No basic course shall be approved by the commissioner that does not follow the minimum curriculum as prescribed by the council.

(b) Specific curriculum categories, respective titles/topics, and time allotments shall be established by the council and published by the commissioner.

(c)

(1) Training regarding the investigation and intervention of crimes involving sexual assault shall be conducted in accordance with the policies and procedures, and minimum standards as established by the council. The investigation and enforcement of crimes involving sexual assault under New York State law, shall include, but not be limited to:

(i) techniques for interviewing sexual assault victims;

(ii) fair treatment standards for crime victims pursuant to article 23 of the Executive Law;

(iii) evidence gathering and evidence preservation; and

(iv) dissemination of information concerning availability of local services for the victims of such crimes.

(2) This training course and curriculum shall be reviewed regularly by the council and modified as need may require.

(d) Supervised field training review and orientation shall be conducted in accordance with the policies and minimum standards as established by the council. Performance of field training shall be documented on a form prescribed or approved by the commissioner.

(e) *Training regarding the handling of emergency situations involving individuals with autism spectrum disorder and other developmental disabilities shall be conducted in accordance with the policies and procedures, and minimum standards as established by the Council.*

(f) Only instructors qualified/certified in accordance with the provisions of Parts 6023 and/or 6024 of this Title may provide instruction in a basic course.

(g) *Only course directors as defined in section 6020.1(b) of this Part may administer a basic course for police officers.*

17. Subdivision (a) of section 6020.4 of 9 NYCRR is amended to read as follows:

(a) No later than 45 days prior to commencement of a basic course, the *course* director shall file a copy of the proposed curriculum with the commissioner. This curriculum shall be in a form prescribed by the commissioner and shall include:

(1) course location and sponsor;

(2) a chronological listing of topics; including the date, time and number of hours allotted to each topic; [and]

(3) the names of instructors and the type of instructor certification held by each instructor[.]; and

(4) *The name of the course director as defined in section 6020.1(b) of this Part.*

18. Subdivisions (a), (b), (c), (d) and (e) of section 6020.5 of 9 NYCRR are amended to read as follows:

(a) Within 10 days after commencement of a basic course, the *course* director shall forward the course roster to the commissioner, on a form prescribed commissioner, listing the names and other information contained in the form and required by the council for all enrollees. At that time, a completed "Certification of Employment" form (DCJS 2214-A) or other form approved by the commissioner shall be forwarded by the *course* director to the commissioner for each police officer enrolled in the course.

(b) The *course* director shall make written notification, to the commissioner, of any departures from the approved curriculum and shall be responsible for assuring that such changes do not materially change course content.

(c) If an officer resigns from a basic course, the *course* director shall complete a "Notification of Termination/Resignation" on a form prescribed by the commissioner and forward it to the commissioner within five days after said resignation. If an officer is terminated from a basic course, the *course* director shall complete a "Notification of Termination/Resignation" on a form prescribed by the commissioner and forward it to the commissioner at least five days in advance of said termination. Since exigent circumstances may not allow for submission of forms prior to termination, in such cases forms shall be forwarded within five days after such occurrence. Any failure relating to academic or physical standards which results in removal from a basic course shall be considered a termination.

(d) The *course* director shall ensure that the basic course is conducted in accordance with applicable standards, policies, and procedures. The *course* director shall establish written directives for the administration of the basic course including, but not limited to, attendance, counseling, remediation, and retesting. The directives shall define the minimum period of time set for remediation and provide for one or more opportunities for retesting.

(e) The *course* director [or] and the sponsoring agency shall be responsible for maintaining accurate records for each basic course. These records shall be retained as required by the appropriate schedule for records retention and disposition promulgated by the Commissioner of Education. Such records shall be available for inspection by members of the council or the commissioner. They shall include, but not be limited to, lesson plans for each topic inclusive of objectives, officer attendance and performance records, a copy of the curriculum approved for use, a record of any changes in the curriculum after such approval, and completed "Supervised Field Training and Orientation Guides".

19. Subdivisions (b), (c), (d), (e) and (f) of section 6020.6 of 9 NYCRR are amended to read as follows:

(b) Attendance shall be required of each police officer at all ses-

sions of the basic course except for valid reasons. The *course* director is authorized to determine the validity of and excuse absences of not more than 10 percent of the total hours of instruction as provided for in the curriculum of the course. An absentee from any scheduled class session shall make up such absence as required by the *course* director. However, no police officer may be issued a certificate of completion without receiving the full program of instruction in firearms, the defense of justification (use of physical force/deadly physical force), and physical agility/arrest techniques.

(c) A police officer who is unable to satisfactorily complete the full curriculum of a basic course due to excessive absence may apply for authorization to complete the requirements of that curriculum in an alternately approved basic course. Such applications shall be subject to the approval of the *course* director. If the *course* director approves the application, it shall be forwarded to the commissioner by the *course* director. The commissioner may authorize such officer to make up required hours at another basic course in satisfaction of the requirements for a certificate of completion. Such determination shall be subject to review and approval by the council at its next scheduled meeting subsequent to such determination.

(d) Each police officer enrolled in a basic course shall keep a notebook. The notebook shall contain an outline of major points and pertinent information for each topic presented. The *course* director will evaluate notebooks based upon criteria such as, content, organization, regularity of entries, accuracy and legibility.

(e) The taking and passing of written examination(s) is required of each police officer prior to issuance of a certificate of completion. If a series of examinations is required by the *course* director, the candidate must achieve a total passing average for the series. The *course* director shall assemble examination material, give and supervise the examination(s) and grade the examination(s). The *course* director [or] and sponsoring agency shall retain the examination papers as required by the appropriate schedule for records retention and disposition promulgated by the Commissioner of Education. Such records shall be available for inspection by members of the council or the commissioner.

(f) Upon certification by a *course* director stating that a police officer has satisfactorily completed all basic course requirements, the commissioner shall issue a certificate of completion to such police officer.

20. Subdivision (b) of section 6021.1 of 9 NYCRR is amended to read as follows:

(b) The term *course* director shall mean the director or co-director of a course in police supervision[.]who is responsible for the administration of the course and is certified by the Commissioner as an individual whose qualifications meet or exceed the requirements set forth in section 6023.3-a of this Title.

21. A new subdivision (c) is added to section 6021.3 of 9 NYCRR to read as follows:

(c) *Only course directors as defined in section 6021.1(b) of this Part may administer a course in police supervision.*

22. Subdivision (a) of section 6021.4 is amended to read as follows:

(a) No later than 45 days prior to commencement of a supervisory course, the *course* director shall file a copy of the proposed curriculum with the commissioner. This copy shall be in a form approved or prescribed by the commissioner and shall include:

(1) course location and sponsor;

(2) a chronological listing of topics; including the date, time and number of hours allotted to each topic; [and]

(3) the names of instructors and the type of instructor certification held by each instructor[.]; and

(4) *The name of the course director as defined in section 6021.1(b) of this Part.*

23. Subdivisions (a)-(f) of section 6021.5 of 9 NYCRR are amended to read as follows:

(a) Within 10 days after commencement of a supervisory course, the *course* director shall forward the course roster to the commissioner on a form prescribed by the commissioner, listing the names

and other information contained in the form and required by the council for all enrollees. At that time, a completed "Certification of Employment" on a form prescribed by the commissioner shall be forwarded by the *course* director to the commissioner for each person enrolled in the course.

(b) Within 10 days after the conclusion of a supervisory course, the *course* director shall forward the course roster to the commissioner, as listed in subdivision (a) of this section, denoting the performance of respective trainees. Also within the 10-day period, a completed "Certification of Training" on a form prescribed by the commissioner shall be forwarded by the *course* director for each officer satisfactorily completing the course to the officers' respective civil service/personnel agency.

(c) The *course* director shall make written notification to the commissioner of any departures from the approved curriculum and shall be responsible for assuring that such changes do not materially change course content.

(d) If an officer resigns from a supervisory course, the *course* director shall complete a "Notification of Termination/Resignation" on a form prescribed by the commissioner and forward it to the commissioner within five days after said resignation. If an officer is terminated from a supervisory course, the *course* director shall complete a "Notification of Termination/Resignation" on a form prescribed by the commissioner and forward it to the commissioner at least five days in advance of said termination. Since exigent circumstances may not allow for submission of forms prior to termination, in such cases forms shall be forwarded within five days after such occurrence. Any failure relating to academic or physical standards which results in removal from a supervisory course shall be considered a termination.

(e) The *course* director shall assure that the supervisory course is conducted in accordance with applicable standards, policies, and procedures.

(f) The *course* director [or] and sponsoring agency shall be responsible for maintaining accurate records for each supervisory course. These records shall be retained as required by the appropriate schedule for records retention and disposition promulgated by the Commissioner of Education. Such records shall be available for inspection by members of the council or the commissioner. They shall include, but not be limited to lesson plans for each topic, officer attendance and performance records, a copy of the curriculum approved for use and a record of any changes in the curriculum after such approval.

24. Subdivisions (b), (c), (d), (e) and (f) of section 6021.6 of 9 NYCRR are amended to read as follows:

(b) Attendance shall be required of each police officer at all sessions of the supervisory course except for valid reasons. The *course* director is authorized to determine the validity of and excuse absences of not more than 10 percent of the hours of instruction as provided from the curriculum of the course. An absentee from any scheduled class session shall make up such absence as required by the *course* director.

(c) A police officer who is unable to satisfactorily complete the full curriculum of a supervisory course due to excessive absence may apply for authorization to complete the requirements of that curriculum in an alternately approved supervisory course. Such applications shall be subject to the approval of the *course* director. If the *course* director approves the application, it shall be forwarded to the commissioner by the *course* director. The commissioner may authorize the officer to make up required hours at another supervisory course in satisfaction of the requirements for a certificate of completion. Such a determination shall be subject to review and approval by the council at its next scheduled meeting subsequent to such determination.

(d) Each police officer enrolled in a supervisory course shall keep a notebook. The notebook shall contain an outline of major points and pertinent information for each topic presented. The *course* director will evaluate notebooks based upon criteria such as content, organization, regularity of entries, accuracy and legibility.

(e) The taking and passing of a written examination(s) is required of each police officer prior to issuance of a certificate of completion. If a series of examinations is required by the *course* director, the candidate must achieve a total passing average for the series. The *course* direc-

tor shall assemble examination material, give and supervise the examination(s), and grade the examination(s). The *course* director [or] and sponsoring agency shall retain the examination papers as required by the appropriate schedule for records retention and disposition promulgated by the Commissioner of Education. Such records shall be available for inspection by members of the council or the commissioner.

(f) Upon certification by a *course* director stating that a police officer has satisfactorily completed all supervisory course requirements, the commissioner may issue a certificate of completion to such police officer.

25. Subdivision (b) of section 6022.1 of 9 NYCRR is amended to read as follows:

(b) The term *course* director shall mean the director or co-director of a police in-service training course[.] who is responsible for the administration of the course and is certified by the Commissioner as an individual whose qualifications meet or exceed the requirements set forth in section 6023.3-a of this Part.

26. Two new subdivisions (h) and (i) are added to section 6022.1 of 9 NYCRR to read as follows:

(h) The term *non-MPTC certificate of attendance* shall mean a document issued by a *course* director evidencing that a candidate has satisfactorily completed all course requirements and any pre-requisite training for a non-MPTC certified course.

(i) The term *MPTC certificate of completion* shall mean a document issued by the commissioner evidencing that a candidate has satisfactorily completed all course requirements and any pre-requisite training for a MPTC certified course.

27. Section 6022.3 of 9 NYCRR is amended to read as follows:

(a) [If minimum standards for an in-service training course have been established by the council, an] A MPTC-certified in-service training course shall minimally contain required topics and meet required time allotments as established by the council for approval of [certification] a MPTC certificate of completion to be granted.

(b)[If minimum standards for an in-service training course have not been established by the council, an in-service training course may be reviewed for content against generally accepted standards and noncertified approval granted at the commissioner's discretion.

(c)]

(1) Training regarding the investigation and intervention of crimes involving sexual assault shall be conducted in accordance with the policies and procedures, and minimum standards as established by the council. The investigation and enforcement of crimes involving sexual assault under New York State law, shall include, but not be limited to:

(i) techniques for interviewing sexual assault victims;

(ii) fair treatment standards for crime victims pursuant to article 23 of the Executive Law;

(iii) evidence gathering and evidence preservation; and

(iv) dissemination of information concerning availability of local services for the victims of such crimes.

(2) It is preferred that this training course and curriculum be completed at intervals prescribed by the council.

(3) This training course and curriculum shall be reviewed regularly by the council and modified as need may require.

(c) Training regarding the handling of emergency situations involving individuals with autism spectrum disorder and other developmental disabilities shall be conducted in accordance with the policies and procedures, and minimum standards as established by the Council.

(d) Only *course* directors or instructors qualified/certified in accordance with the provisions of Part 6023 and/or 6024 of this Title may administer or conduct training which is certified pursuant to this Part.

28. Subdivision (a) of section 6022.4 of 9 NYCRR is amended to read as follows:

(a) No later than 45 days prior to commencement of an in-service training course, the *course* director shall file a copy of the proposed curriculum with the commissioner. This curriculum shall be in a form prescribed by the commissioner and shall include:

- (1) course location and sponsor;
- (2) a chronological listing of topics; including the date, time and number of hours allotted to each topic; [and]
- (3) the names of instructors, and the type of instructor certification held by each instructor[.]; and
- (4) *The name of the course director as defined in section 6022.1(b) of this Part.*

29. Subdivision (c) of section 6022.4 of 9 NYCRR is amended to read as follows:

(c) The commissioner [shall] *may* make an individual written certification for each in-service training course conducted, when in his or her judgement the information furnished warrants such action.

30. Section 6022.5 of 9 NYCRR is amended to read as follows:

Section 6022.5. Requirements for conducting a [police] *MPTC-certified* in-service training course.

(a) Within 10 days after conclusion of an in-service training course, the *course* director shall forward the course roster to the commissioner on a form prescribed by the commissioner, listing the names and other information contained in the form and required by the council for all enrollees.

(b) The *course* director shall make written notification to the commissioner of any changes in the approved curriculum and shall be responsible for assuring that such changes do not materially change course content.

(c) The *course* director shall assure that the in-service training course is conducted in accordance with applicable standards, policies, and procedures.

(d) The *course* director or sponsoring agency shall be responsible for maintaining accurate records for each in-service training course. These records shall be retained as required by the appropriate schedule for records retention and disposition promulgated by the Commissioner of Education. Such records shall be available for inspection by members of the council or the commissioner. They shall include, but not be limited to, lesson plans for each topic, officer attendance and performance records, a copy of the *proposed* curriculum [approved for use], a record of any changes in the curriculum after [such] *issuance of curriculum approval*.

31. A new section 6022.5-a is added to Part 6022 of 9 NYCRR to read as follows:

6022.5-a Requirements for conducting a non MPTC-certified in-service training course.

(a) *Within 10 days after conclusion of a non MPTC-certified in-service training course, the course director shall forward the course roster to the commissioner on a form prescribed by the commissioner, listing the names and other information contained in the form for all enrollees.*

(b) *The course director and sponsoring agency shall be responsible for maintaining accurate records for each in-service training course. These records shall be retained as required by the appropriate schedule for records retention and disposition promulgated by the Commissioner of Education. Such records shall be available for inspection by members of the council or the commissioner. They shall include, but are not be limited to, lesson plans for each topic, officer attendance and performance records, and the curriculum.*

32. Section 6022.6 of 9 NYCRR is amended to read as follows:

Section 6022.6. Requirements for issuance of a *MPTC* certificate of completion [certificate of attendance] *for a MPTC in-service training course.*

(a) Attendance shall be required of each candidate at all sessions of the *MPTC-certified* in-service training course except for valid reasons. The *course* director is authorized to determine the validity of and excuse absences of not more than 10 percent of the total hours of instruction as provided for in the curriculum of the course. An absentee from any scheduled class session shall make up such absence as required by the *course* director.

(b) If the taking of examination(s) is required prior to the issuance of *MPTC* certificate(s) of completion, candidates must receive a passing score. If a series of examinations is required, candidates must

achieve a total passing average for the series *prior to the issuance of MPTC certificate(s) of completion*. The *course* director shall assemble examination material, give and supervise the examination(s), and grade the examination(s). The *course* director [or] *and* sponsoring agency shall retain the examination papers as required by the appropriate schedule of records retention and disposition promulgated by the Commissioner of Education. Such records shall be available for inspection by members of the council or the commissioner.

(c) [If minimum standards for an in-service course have been established by the council, upon] *Upon* certification by a *course* director stating that a candidate has satisfactorily completed all course requirements and any pre-requisite training as determined by the council, the commissioner may issue a *MPTC* certificate of completion.

(d) [If minimum standards for an in-service training course have not been established by the council, upon certification by a director that a candidate has satisfactorily completed all course requirements and any pre-requisite training as determined by the commissioner, the commissioner may issue a certificate of attendance.

(e) If the candidate is a police or peace officer, the candidate must be employed as such at the time of certification and have successfully completed a basic training program approved by the commissioner.

[(f)] (e) If the candidate is not a police or peace officer, the candidate must be sponsored by his or her employing police or peace officer agency.

33. A new section 6022.7 is added to Part 6022 of 9 NYCRR to read as follows:

6022.7 Requirements for self-issuance of a non-MPTC certificate of attendance for a non- MPTC-certified in-service training course.

(a) *Attendance shall be required of each candidate at all sessions of the non-MPTC-certified in-service training course except for valid reasons. The course director is authorized to determine the validity of and excuse absences of not more than 10 percent of the total hours of instruction as provided for in the curriculum of the course. An absentee from any scheduled class session shall make up such absence as required by the course director.*

(b) *If the taking of examination(s) is required prior to the issuance of non-MPTC certificate(s) of attendance, candidates must receive a passing score. If a series of examinations is required, candidates must achieve a total passing average for the series prior to the issuance of non-MPTC certificate(s) of attendance. The course director shall assemble examination material, give and supervise the examination(s), and grade the examination(s). The course director and sponsoring agency shall retain the examination papers as required by the appropriate schedule of records retention and disposition promulgated by the Commissioner of Education. Such records shall be available for inspection by members of the council or the commissioner.*

(c) *Upon certification by a course director stating that a candidate has satisfactorily completed all course requirements and any pre-requisite training, the course director may issue a non-MPTC certificate of attendance. The non-MPTC certificate of attendance shall be in a form prescribed by the commissioner.*

(d) *If the candidate is a police or peace officer, the candidate must be employed as such at the time of certification and have successfully completed a basic training program approved by the commissioner.*

(e) *If the candidate is not a police or peace officer, the candidate must be sponsored by his or her employing police or peace officer agency.*

34. Subdivision (d) of section 6023.1 of 9 NYCRR is re-lettered to be subdivision (f) and two new subdivisions (d) and (e) are added to read as follows:

(d) *The term course director shall mean the director or co-director of an organization that administers approved police or peace officer training courses which have been approved by the commissioner, including but not limited to, courses which meet the minimum standards as set forth in Parts 6018, 6019, 6020, 6021, 6022, 6025 or 6026 of this Title.*

(e) *The term instructor shall mean an instructor of an approved police or peace officer training course which have been approved by the*

commissioner, including but not limited to, courses which meet the minimum standards as set forth in Parts 6018, 6019, 6020, 6021, 6022, 6025 or 6026 of this Title.

35. Two new subdivisions (g) and (h) are added to section 6023.1 of 9 NYCRR to read as follows:

(g) *The term course director certification shall mean any certification made by the commissioner to an individual whose qualifications meet or exceed the requirements established by section 6023.3-a of this Part.*

(h) *The term approved police or peace officer training course(s) shall mean courses conducted with the required approvals and in compliance with minimum standards as established by the Municipal Police Training Council.*

36. Subdivision (b) of section 6023.2 of 9 NYCRR is re-lettered to be subdivision (c) and a new subdivision (b) is amended to read as follows:

(b) *Course director certification may be granted by the commissioner in accordance with the minimum requirements established by section 6023.3-a of this Part.*

37. Newly re-lettered subdivision (c) of section 6023.2 of 9 NYCRR is amended to read as follows:

(c) *A standard list of special topics for which instructor certification or course director certification may be granted may be established and maintained by the commissioner.*

38. A new section 6023.3-a is added to Part 6023 of 9 NYCRR to read as follows:

6023.3-a Requirements for course director certification.

Each applicant requesting course director certification must:

(a) *possess a high school diploma or its equivalent;*
(b) *if a police or peace officer, be employed as such at the time such officer requests a course director certification and have successfully completed a Municipal Police Training Council approved Basic Course for Police Officers or Basic Course for Peace Officers, as appropriate;*

(c) *if not a police or peace officer, be sponsored by his or her employing police or peace officer agency, or be appointed by a pre-employment police officer training school, municipality, governing board or organization that administers approved police or peace officer training courses; and*

(d) *have successfully completed an instructor development course (IDC) and a course director orientation course (CDOC) approved by the commissioner.*

39. Section 6023.5 of 9 NYCRR is amended to read as follows:

An instructor certification will be valid from the date of issuance and shall remain valid during the holder's continuous services as a police officer or peace officer, or while the holder is employed by a sponsoring police officer or peace officer agency, unless revoked or suspended by the commissioner.

40. A new section 6023.5-a is added to Part 6023 of NYCRR to read as follows:

A course director certification will be valid from the date of issuance and shall remain valid during the holder's continuous services as a police officer or peace officer, or while the holder is employed by a sponsoring police officer or peace officer agency, unless revoked or suspended by the commissioner.

41. Section 6023.7 of 9 NYCRR is repealed and new section 6023.7 is added to read as follows:

6023.7 Suspension and revocation of certification.

(a) *The commissioner may move to suspend or revoke the instructor or course director certification pursuant to this Part at any time. Upon the suspension of the instructor or course director certification, the commissioner shall either:*

(1) *proceed under the provisions of subdivision (c) of this section to revoke the instructor or director certification; or*

(2) *hold the revocation of the instructor or course director certification in abeyance pending the resolution of the concerns raised by the commissioner.*

(b) *Suspension.*

(1) *The certification of an instructor or course director may be suspended for causes including, but not be limited to:*

(i) *the violation of any of the provisions and/or applicable rules and regulations as set forth in this Part;*

(ii) *the commissioner determines that there are defects in the instruction or administration of a course provided by an instructor or course director;*

(iii) *the instructor or course director is charged with a felony or misdemeanor and the conduct constituting the offense was performed in the name of or on behalf of an approved pre-employment police training school, during the administration of an approved police or peace officer training course, or, in the discretion of the commissioner, the conduct of the instructor or course director bears on the integrity of the division;*

(iv) *the instructor or course director submitted documents to the Division for approval which contained a material false statement or omission;*

(v) *the commissioner determines that the instructor or course director was and/or is professionally affiliated with an instructor, course director, pre-employment police training school or an organization that administers approved police or peace officer training courses that has been and/or is presently suspended or revoked;*

(vi) *any other cause for which the commissioner deems the suspension necessary.*

(2) *The commissioner may, but is not required to, send the instructor or course director, via certified mail, a written notice to cure in response to paragraph (1) of this subdivision. Upon receipt of such notice, the certification of the instructor or course director shall be suspended and such instructor shall not instruct or administer any approved police or peace officer training course or program.*

(3) *No later than 15 days of the receipt of said notice, the instructor or course director may address the concerns raised. The instructor or course director shall notify the division in writing of the actions taken. If the actions do not satisfactorily address the concerns of the division, the division may proceed with the revocation of the instructor or course director certification.*

(4) *Where the instructor has been charged with a felony or misdemeanor, the commissioner shall send the instructor or course director, via certified mail, a written notice of suspension pending the disposition of the case. Upon receipt of such notice, the certification of the instructor or course director shall be suspended and such instructor or course director shall not instruct or administer any approved police or peace officer training course or program.*

(c) *Revocation.*

(1) *The certification of an instructor or course director may be revoked for causes including, but not be limited to:*

(i) *the violation of any of the provisions and/or applicable rules and regulations as set forth in this Part;*

(ii) *the commissioner determines that there are defects in the instruction or administration of a course provided by an instructor or course director;*

(iii) *the instructor or course director is convicted of a felony or misdemeanor and the conduct constituting the offense was performed in the name of or on behalf of an approved pre-employment police training school, during the administration of an approved police or peace officer training course, or, in the discretion of the commissioner, the conduct of the instructor or course director bears on the integrity of the division;*

(iv) *the instructor or course director submitted documents to the Division for approval which contained a material false statement or omission;*

(v) *the commissioner determines that the instructor or course director was and/or is professionally affiliated with an instructor, course director, pre-employment police training school or an organization that administers approved police or peace officer training courses that has been and/or is presently suspended or revoked;*

(vi) *an instructor or course director, after receipt of a notice of*

suspension, continues to conduct or administer police or peace officer training courses;

(vii) any other cause for which the commissioner deems the revocation necessary.

(2) The commissioner shall send the instructor or course director, via certified mail, a written notice of his or her intent to revoke the certification and the reasons for such action. Upon receipt of such notice, the certification of the instructor or course director shall be suspended, or will remain suspended, and such instructor or course director shall not instruct nor administer any approved police or peace officer training course or program.

(3) Within 15 days of the receipt of said notice, the instructor or course director may forward a written request to the commissioner for a hearing to be held by the council to consider the revocation of the instructor or course director certification. The commissioner shall forward the request to the council. The failure of the individual to timely request a hearing shall not preclude the commissioner from revoking the certification.

(4) Such hearing shall be held at the next meeting of the council or subsequent meeting or special meeting of the council. At least 15 days before the next meeting, the council shall give to the instructor or course director written notice by mail of the time and place of said meeting, wherein a hearing shall be held to consider the revocation of the instructor or course director certification. The instructor or course director may be represented at the hearing by counsel and may produce any evidence to support his or her position.

(5) The hearing shall be conducted in accordance with the provisions of the State Administrative Procedure Act. Following deliberation, and in accordance with the open meetings law established by article 7 of the Public Officers Law, the council shall submit its recommendation to the commissioner. Following receipt of the council's recommendation, and within 90 days of the date of the hearing, the commissioner shall forward to the individual the decision and the reasons given for such decision. The commissioner makes the final decision, notwithstanding the council's recommendation. The commissioner, and not the council, shall be responsible for setting any penalty.

(6) The commissioner shall consider additional factors including, but not limited to:

(i) whether the instructor or course director has submitted documents to the Division for approval which were denied;

(ii) whether the instructor or course director is at an approved pre-employment police training school or an organization that administers approved police or peace officer training courses which has submitted documents to the Division for approval which were denied, and the date and nature of such denial;

(iii) whether the instructor or course director has had an instructor certification, firearms instructor certification, course director certification or pre-employment police training school approval suspended or revoked, or is the instructor or course director at an approved pre-employment police training school where the approval of such school has ever been or is suspended or revoked, and the date and nature of such suspension or revocation;

(iv) whether the instructor or course director has ever been convicted of a crime, and the date and nature of the offense;

(v) whether there are any criminal charges pending against the instructor or course director.

42. A new section 6023.8 is added to 9 NYCRR to read as follows:

6023.8 Conducting a police or peace officer training course.

(a) No police or peace officer training course shall be conducted which does not meet the minimum standards as set forth in Parts 6018, 6019, 6020, 6021, 6022, 6025 or 6026 of this Title.

(b) Only instructors certified pursuant to the provisions of this Part are allowed to instruct a police or peace officer training course.

(c) Only course directors certified pursuant to the provisions of this Part are allowed to administer a police or peace officer training course or program at the school.

(d) The certified instructor and certified course director shall ensure that the police or peace officer training course is compliant with ap-

plicable laws, rules and regulations, division requirements, and Municipal Police Training Council policies and procedures created pursuant to section 840(1) of the Executive Law.

(e) The certified instructor and certified course director shall adhere to and engage in proper business practices.

(f) Attendance shall be required of each individual student for all sections of a police or peace officer training course. No student shall be issued a certificate of completion who does not successfully complete an approved police or peace officer training course.

(g) The council or the commissioner may conduct periodic unscheduled inspections to monitor compliance with applicable laws, rules and regulations, division requirements, and policies and procedures.

(h) The course director and sponsoring agency shall be responsible for maintaining accurate records for each approved police or peace officer training course. These records shall be retained as required by the appropriate schedule for records retention and disposition promulgated by the Commissioner of Education. Such records shall be available for inspection by members of the council or the commissioner. They shall include, but not be limited to, lesson plans for each topic, officer attendance and performance records, a copy of the proposed curriculum, a record of any changes in the curriculum after issuance of curriculum approval.

43. Section 6024.5 of 9 NYCRR is repealed and a new section 6024.5 is added to read as follows:

6024.5 Suspension and revocation of firearms instructor certification.

(a) The commissioner may move to suspend or revoke a firearms instructor certification pursuant to this Part at any time. Upon the suspension of the firearms instructor certification, the commissioner shall either:

(1) proceed under the provisions of subdivision (c) of this section to revoke the firearms instructor certification; or

(2) hold the revocation of the firearms instructor certification in abeyance pending the resolution of the concerns raised by the commissioner.

(b) Suspension.

(1) The certification of a firearms instructor may be suspended for causes including, but not be limited to:

(i) the violation of any of the provisions and/or applicable rules and regulations as set forth in this Part;

(ii) the commissioner determines that there are defects in the instruction of a course provided by a firearms instructor;

(iii) the firearms instructor is charged with a felony or misdemeanor and the conduct constituting the offense was performed in the name of or on behalf of an approved pre-employment police training school, during an approved police or peace officer training course, or, in the discretion of the commissioner, the conduct of the firearms instructor bears on the integrity of the division;

(iv) the firearms instructor submitted documents to the Division for approval which contained a material false statement or omission;

(v) the commissioner determines that the firearms instructor was and/or is professionally affiliated with an instructor, firearms instructor, course director or an organization that administers approved police or peace officer training courses that has been and/or is presently suspended or revoked;

(vi) any other cause for which the commissioner deems the suspension necessary.

(2) The commissioner may, but is not required to, send the firearms instructor, via certified mail, a written notice to cure in response to paragraph (1) of this subdivision. Upon receipt of such notice, the certification of the firearms instructor shall be suspended and such firearms instructor shall not instruct any approved police or peace officer training course or program.

(3) No later than 15 days of the receipt of said notice, the firearms instructor may address the concerns raised. The firearms instructor shall notify the division in writing of the actions taken. If the actions do not satisfactorily address the concerns of the division, the

division may proceed with the revocation of the firearms instructor certification.

(4) Where the firearms instructor has been charged with a felony or misdemeanor, the commissioner shall send the firearms instructor, via certified mail, a written notice of suspension pending the disposition of the case. Upon receipt of such notice, the certification of the firearms instructor shall be suspended and such firearms instructor shall not instruct any approved police or peace officer training course or program.

(c) Revocation.

(1) The certification of a firearms instructor may be revoked for causes including, but not be limited to:

(i) the violation of any of the provisions and/or applicable rules and regulations as set forth in this Part;

(ii) the commissioner determines that there are defects in the instruction of a course provided by a firearms instructor;

(iii) the firearms instructor is convicted of a felony or misdemeanor and the conduct constituting the offense was performed in the name of or on behalf of an approved pre-employment police training school, during an approved police or peace officer training course, or, in the discretion of the commissioner, the conduct of the firearms instructor bears on the integrity of the division;

(iv) the firearms instructor submitted documents to the Division for approval which contained a material false statement or omission;

(v) the commissioner determines that the firearms instructor was and/or is professionally affiliated with an instructor, firearms instructor, course director, pre-employment police training school or an organization that administers approved police or peace officer training courses that has been and/or is presently suspended or revoked;

(vi) a firearms instructor after receipt of a notice of suspension, continues to conduct police or peace officer training courses;

(vii) any other cause for which the commissioner deems the revocation necessary.

(2) The commissioner shall send the firearms instructor, via certified mail, a written notice of his or her intent to revoke the certification and the reasons for such action. Upon receipt of such notice, the certification of the firearms instructor shall be suspended, or will remain suspended, and such firearms instructor shall not instruct any approved police or peace officer training course or program.

(3) Within 15 days of the receipt of said notice, the firearms instructor may forward a written request to the commissioner for a hearing to be held by the council to consider the revocation of the firearms instructor certification. The commissioner shall forward the request to the council. The failure of the individual to timely request a hearing shall not preclude the commissioner from revoking the certification.

(4) Such hearing shall be held at the next meeting of the council or subsequent meeting or special meeting of the council. At least 15 days before the next meeting, the council shall give to the firearms instructor written notice by mail of the time and place of said meeting, wherein a hearing shall be held to consider the revocation of the firearms instructor certification. The firearms instructor may be represented at the hearing by counsel and may produce any evidence to support his or her position.

(5) The hearing shall be conducted in accordance with the provisions of the State Administrative Procedure Act. Following deliberation, and in accordance with the open meetings law established by article 7 of the Public Officers Law, the council shall submit its recommendation to the commissioner. Following receipt of the council's recommendation, and within 90 days of the date of the hearing, the commissioner shall forward to the individual the decision and the reasons given for such decision. The commissioner makes the final decision, notwithstanding the council's recommendation. The commissioner, and not the council, shall be responsible for setting any penalty.

(6) The commissioner shall consider additional factors including, but not limited to:

(i) whether the firearms instructor has submitted documents to the Division for approval which were denied;

(ii) whether the firearms instructor is at an approved pre-employment police training school or an organization that administers approved police or peace officer training courses which has submitted documents to the Division for approval which were denied, and the date and nature of such denial;

(iii) whether the firearms instructor has had an instructor certification, firearms instructor certification, director certification or pre-employment police training school approval suspended or revoked, or is the instructor, firearms instructor or course director at an approved pre-employment police training school where the approval of such school has ever been or is suspended or revoked, and the date and nature of such suspension or revocation;

(iv) whether the firearms instructor has ever been convicted of a crime, and the date and nature of the offense;

(v) and whether there are any criminal charges pending against the firearms instructor.

44. Subdivision (b) of section 6025.1 of 9 NYCRR is amended to read as follows:

(b) The term *course director* shall mean the director or co-director of a basic course for peace officers as set forth in section 6025.1(d) of this Part, who is responsible for the administration of the course and is certified by the Commissioner as an individual whose qualifications meet or exceed the requirements set forth in section 6023.3-a of this Part.

45. A new Subdivision (e) is added to section 6025.3 of 9 NYCRR to read as follows:

(e) Only course directors as defined in section 6025.1(b) of this Part may administer a basic course for peace officers.

46. Paragraphs (2) and (3) of subdivision (a) of section 6025.4 of 9 NYCRR are amended to read as follows:

(2) a chronological listing of topics; including the date, time and number of hours allotted to each topic; [and]

(3) the names of instructors and the type of instructor certification held by each instructor[.] ; and

47. A new paragraph (4) is added to section 6025.4 of 9 NYCRR to read as follows:

(4) The name of the course director as defined in section 6025.1(b) of this Part.

48. Section 6025.5 of 9 NYCRR is amended to read as follows:

(a) Within 10 days after conclusion of a basic course, the *course director* shall forward the course roster to the commissioner denoting the performance of respective trainees.

(b) The *course director* shall make written notification to the commissioner of any departures from the approved curriculum and shall be responsible for assuring that such changes do no materially change course content.

(c) The *course director* shall ensure that the basic course in accordance with all applicable standards, policies and procedures. The *course director* shall establish written directives for the administration of the basic course including, but not limited to, attendance, counseling, remediation and retesting. The written directives shall define the minimum period of time for remediation and for one or more opportunities for retesting.

(d) The *course director* [or] and sponsoring agency shall be responsible for maintaining accurate records for each basic course. These records must be retained as required by the appropriate schedule for records retention and disposition promulgated by the Commissioner of Education. Such records must be available for inspection by members of the council or the commissioner. They include, but are not limited to, lesson plans for each topic inclusive of objectives, officer attendance and performance records, a copy of the curriculum approved for use, a record of any changes in the curriculum after such approval.

49. Subdivisions (b), (c), (d), (e) and (f) of section 6025.6 of 9 NYCRR are amended to read as follows:

(b) Attendance is required of each officer at all sessions of the basic course, except for valid reasons. The *course director* is authorized to determine the validity of, and excuse, absences of not more than 10

percent of the total hours of instruction as provided for in the curriculum of the course. An absentee from any scheduled class session shall make up such absence as required by the *course* director. However, no officer may be issued a certificate of completion without receiving the full program of instruction in firearms, the defense of justification (use of physical force/deadly physical force), and physical agility/arrest techniques.

(c) A peace officer who is unable to satisfactorily complete the full curriculum of a basic course due to excessive absences may apply for authorization to complete the requirements of that curriculum in an alternately approved basic course. Such applications shall be subject to the approval of the *course* director. If the *course* director approves the application, it must be forwarded to the commissioner by the *course* director. The commissioner may authorize such officer to make up required hours at another basic course in satisfaction of the requirements for a certificate of completion. Such determination shall be subject to review and approval by the counsel at its next scheduled meeting subsequent to such determination.

(d) Each peace officer enrolled in a basic course shall keep a notebook. The notebook shall contain an outline of major points and pertinent information for each topic presented. The *course* director will evaluate notebooks based upon criteria such as content, organization, regularity of entries, accuracy and legibility.

(e) The taking and passing of written examination(s) is required of each officer prior to issuance of a certificate of completion. If a series of examinations is required by the *course* director, the candidate must achieve a total passing average for the series. The *course* director shall assemble examination material, give and supervise examination(s) and grade the examination(s). The *course* director [or] and sponsoring agency shall retain the examination papers as required by the appropriate schedule for records retention and disposition promulgated by the Commissioner of Education. Such records must be available for inspection by members of the council or the commissioner.

(f) Upon certification by a *course* director stating that a peace officer has satisfactorily completed all basic course requirements, the commissioner shall issue a certificate of completion to such peace officer.

50. Paragraph (e) of section 6026.1 is amended to read as follows:

(e) The term *course* director shall mean the director or co-director of an organization that administers an approved pre-employment police training school, or his or her designee who is responsible for the administration of the school's courses and is certified by the Commissioner as an individual whose qualifications meet or exceed the requirements set forth in section 6023.3-a of this Title.

51. Subdivision (e) of section 6026.3 of 9 NYCRR is re-lettered to be subdivision (f) and a new subdivision (e) is added to read as follows:

(e) Only course directors as defined in section 6026.1(e) may administer a pre-employment police basic training course.

52. Subdivision (a) section 6026.7 of 9 NYCRR is amended to read as follows:

(a) The *course* director shall ensure that a pre-employment police basic training course is conducted in accordance with this Part and all applicable standards, policies and procedures.

53. Subdivision (c) of section 6026.7 of 9 NYCRR is amended to read as follows:

(c) The *course* director shall make written notification to the commissioner of any departures from the approved curriculum and shall be responsible for assuring that such changes do not materially change course content.

54. Subdivisions (b), (c), (d) and (e) of section 6026.8 of 9 NYCRR are amended as follows:

(b) Attendance is required at all sessions of the pre-employment police basic training course except for valid reasons. The *course* director is authorized to decide the validity of excuses and excuse absences of not more than 10 percent of the total hours of instruction as provided for in the curriculum of the course. An absentee from any scheduled class session will make up such absence as required by the *course* director.

(c) Each individual enrolled in a pre-employment police basic train-

ing course shall keep a notebook. The notebook shall contain an outline of major points and pertinent information for each topic presented. The *course* director will evaluate notebooks based upon criteria such as, content, organization, regularity of entries, accuracy and legibility.

(d) The taking and passing of written examination(s) with at least a grade of C (70 percent) is required of each individual before a pre-employment police basic training course for police officers is successfully completed. The *course* director will assemble examination material, give and supervise examination(s), and grade the examination(s). The college, two-year college, or university shall retain the examination papers as required by the appropriate schedule for records retention and disposition promulgated by the Commissioner of Education. Such records must be available for inspection by the commissioner.

(e) Within 10 days after conclusion of a basic course, the *course* director shall forward the course roster to the commissioner denoting the performance of respective trainees.

PUBLIC NOTICE

Division of Criminal Justice Services

I, Andrew M. Cuomo, Governor of the State of New York, do hereby adopt and promulgate the following regulations that have been recommended by the Municipal Police Training Council pursuant to the provisions of section eight hundred forty of the Executive Law. This action is taken pursuant to the authority vested in me by section eight hundred forty-two of such law, and, as such, it is exempted from the rule making provisions of the State Administrative Procedure Act.

NOW, THEREFORE, be it known that the amendments to sections 6020.8 and 6025.8 of Title 9 of the New York State Official Compilation of Codes, Rules and Regulations are hereby adopted and promulgated and shall be effective upon publication in the State Register.

1. Subdivision (a) of section 6020.8 of Title 9 NYCRR is amended to read as follows:

(a) Any person, who has been appointed a police officer of any municipality of the State of New York and who has formerly been permanently appointed a police officer of the United States, or of any territory or possession thereof, or of the District of Columbia, or of any of the United States or its subdivisions, *other than any person who has been removed from said appointment pursuant to section 6056.4(c)(4) or 6056.4(c)(5) of this Title*, may apply to the commissioner for leave to substitute satisfactory completion of a course of police training completed in such other jurisdiction in satisfaction of all or part of the requirements of an approved basic course for police officers imposed under section 209-q of the General Municipal Law. The commissioner shall review and evaluate all such applications and may require the applicant to submit such additional documentation as he or she shall deem necessary. If, upon review and evaluation of such application, the commissioner determines that a program of police training completed by the applicant in another jurisdiction meets or exceeds all or part of the minimum standards prescribed in section 6020.3 of this Part, the commissioner may authorize such training to be substituted for such requirements of the basic course as he or she shall deem appropriate. The commissioner shall certify, in writing, the extent to which all or part of the curriculum of the basic course may be waived and any noted deficiencies must be satisfactorily completed at a basic course approved by the commissioner, within the period of time prescribed in section 6020.7 of this Part. Applicants for equivalency certificates shall be subject to the same limitations and requirements as prescribed in sections 6020.6 and 6020.7 of this Part and section 209-q of the General Municipal Law.

2. Section 6025.8 of Title 9 NYCRR is amended to read as follows:

Any person, who has been appointed a peace officer of the State or any municipality or employer of the State of New York and who has formerly been permanently appointed a peace officer or police officer of the United States, or of any territory or possession thereof, or of the District of Columbia, or of any of the United States or its subdivisions, or who has satisfactorily completed the pre-employment police basic training program as prescribed in section 6026.3 of this Title, *other than any person who has been removed from said appointment*

pursuant to section 6056.4(c)(4) or 6056.4(c)(5) of this Title, may apply to the commissioner for leave to substitute satisfactory completion of a course of basic training completed in such other jurisdiction or may apply to the commissioner for leave to substitute satisfactory completion of the pre-employment police basic training program in satisfaction of all or part of the requirements of an approved basic course for peace officers imposed under section 2.30 of the Criminal Procedure Law. The commissioner shall review and evaluate all such applications and may require the applicant to submit such additional documentation as he or she shall deem necessary. If, upon review and evaluation of such application, the commissioner determines that a program of peace officer basic training completed by the applicant in another jurisdiction or the pre-employment police basic training program completed by the application meets or exceeds all or part of the minimum standards prescribed in section 6025.3 of this Part, the commissioner may authorize such training to be substituted for such requirements of the basic course as he or she shall deem appropriate. The commissioner shall certify, in writing, the extent to which all or part of the curriculum of the basic course may be waived and any noted deficiencies must be satisfactorily completed at a basic course approved by the commissioner, within the period of time prescribed in section 6025.7 of this Part. Applicants for equivalency certificates shall be subject to the same limitations and requirements as prescribed in sections 6025.6 and 6025.7 of this Part and section 2.30 of the Criminal Procedure Law.

PUBLIC NOTICE

Division of Criminal Justice Services

I, Andrew M. Cuomo, Governor of the State of New York, do hereby adopt and promulgate the following regulations that have been recommended by the Municipal Police Training Council pursuant to the provisions of section eight hundred forty of the Executive Law. This action is taken pursuant to the authority vested in me by section eight hundred forty-two of such law and, as such, it is exempted from the rule making provisions of the State Administrative Procedure Act.

NOW, THEREFORE, be it known that the amendments to Part 6024 of Title 9 of the New York State Official Compilation of Codes, Rules and Regulations are hereby adopted and promulgated and shall be effective upon publication in the State Register.

1. Subdivision (d) of Section 6024.1 of Title 9 of NYCRR is renumbered to be subdivision (e). A new subdivision (d) is added to section 6024.1 to read as follows:

(d) The term federal law enforcement officer shall have the same meaning as set forth in section 2.15 of the Criminal Procedure Law.

2. Subdivisions (b) and (c) of Section 6024.2 of Title 9 of NYCRR are amended to read as follows:

(b) Have a minimum of three years of police [or], peace officer or federal law enforcement officer experience. The peace officer and federal law enforcement officer experience requirement can only be satisfied by those persons who have carried a firearm in the course of their official duties and have done so for the prescribed period of time.

(c) Successfully complete a Municipal Police Training Council approved basic course for police officers or basic course for peace officers, as appropriate [.] or a requisite basic training course prescribed by a federal law enforcement officer employer.

3. Section 6024.4 of Title 9 of NYCRR is amended to read as follows:

Firearms instructor certification shall be valid from the date of issuance and shall remain valid during the holder's continuous service as a police officer [or], peace officer, or federal law enforcement officer; or while the holder is employed by a sponsoring police officer or peace officer agency, unless revoked by the commissioner.

PUBLIC NOTICE

Division of Criminal Justice Services

I, Andrew M. Cuomo, Governor of the State of New York, do hereby adopt and promulgate the following regulations that have been recommended by the Law Enforcement Agency Accreditation Council pur-

suant to Executive Law § 846-h(1)(c). This action is taken pursuant to the authority vested in me by such law, and, as such, it is exempted from the rule making provisions of the State Administrative Procedure Act.

NOW, THEREFORE, be it known that the amendment to section 6035.1(a) of Title 9 of the New York State Official Compilation of Codes, Rules and Regulations is hereby adopted and promulgated, and shall be effective upon publication in the State Register.

Subdivision (a) of section 6035.1 of Title 9 NYCRR is amended to read as follows:

(a) The term law enforcement agency shall mean any law enforcement agency or department of any municipality, any police district, or any agency, department, commission, authority or public benefit corporation of the state of New York employing a police officer or police officers as that term is defined in paragraphs (a), (b), (c), (d), (e), (f), (j), (k), (l), (o), (p) [and], (s), and (u) of subdivision thirty-four of section 1.20 of the Criminal Procedure Law. For the purposes of this definition, the term shall not include any entity that employs police officers in a capacity which may require the use of their law enforcement authority but is supplementary to the primary official responsibilities for which they have been hired.

PUBLIC NOTICE

Office of General Services

Pursuant to Section 33 of the Public Lands Law, the Office of General Services hereby gives notice to the following:

Notice is hereby given that the New York State Department of Transportation has determined that:

Address: 3628 NYS Route 281, Town of Cortlandville, Cortland County, N:V 13045 DOT Map 118-D, Parcel 119

a.23 acre+ lot, is surplus and no longer useful or necessary for state program purposes and has abandoned the property to the Commissioner of General Services for sale or other disposition as Unappropriated State land.

For further information, please contact: Thomas Pohl, Esq., Office of General Services, Legal Services, 41st Fl., Coming Tower, Empire State Plaza, Albany, NY 12242, (518) 474-8831, (518) 473-4973 fax

PUBLIC NOTICE

Department of Health

Pursuant to 42 CFR Section 447.205, the Department of Health hereby gives public notice of the following:

The Department of Health proposes to amend the Title XIX (Medicaid) State Plan for institutional, non-institutional and long-term care services to comply with enacted statutory provisions. The following changes are proposed:

Non-Institutional Services

Effective for days of service on or after April 1, 2020, The Department of Health will eliminate the limitations on amount and duration of partial hospitalization services. The State Plan Amendment is necessary to comply with the Mental Health Parity and Addiction Equity Act of 2008.

There is no additional estimated annual change to gross Medicaid expenditures as a result of this proposed amendment.

Effective on or after April 1, 2020, continues the supplemental upper payment limit payments made to general hospitals, other than major public general hospitals under non-institutional services of \$339 million annually.

For state fiscal year beginning April 1, 2020 through March 31, 2021, continues hospital outpatient payment adjustments that increase the operating cost components of rates of payment for hospital outpatient and emergency departments on and after April 1, 2011, for public general hospitals other than those operated by the State of New York or the State University of New York, which are located in a city with a population of over one million. The amount to be paid will be up to \$287 million annually based on criteria and methodology set by the Commissioner of Health, which the Commissioner may periodically

cally set through a memorandum of understanding with the New York City Health and Hospitals Corporation. Such adjustments shall be paid by means of one or more estimated payments. Payments may be added to rates of payment or made as aggregate payments.

For state fiscal year beginning April 1, 2020 through March 31, 2021, continues upon the election of the social services district in which an eligible diagnostic and treatment center (DTC) is physically located, up to \$12.6 million in additional annual Medicaid payments may be paid to public DTCs operated by the New York City Health and Hospitals Corporation. Such payments will be based on each DTC's proportionate share of the sum of all clinic visits for all facilities eligible for an adjustment for the base year two years prior to the rate year. The proportionate share payments may be added to rates of payment or made as aggregate payments to eligible DTCs.

For state fiscal year beginning April 1, 2020 through March 31, 2021, continues up to \$5.4 million in additional annual Medicaid payments may be paid to county operated free-standing clinics, not including facilities operated by the New York City Health and Hospitals Corporation, for services provided by such DTC and those provided by a county operated freestanding mental health or substance abuse DTC. Distributions shall be based on each eligible facility's proportionate share of the sum of all DTC and clinic visits for all eligible facilities receiving payments for the base year two years prior to the rate year. The proportionate share payments may be added to rates of payment or made as aggregate payments to eligible facilities.

Institutional Services

Effective on or after April 1, 2020, the temporary rate adjustment has been reviewed and approved for the St. Joseph's Hospital Health Center with aggregate payment amounts totaling up to \$4,000,000 for the period April 1, 2020 through March 31, 2021.

Effective on or after April 1, 2020, continues the supplemental upper payment limit payments made to general hospitals, other than major public general hospitals under institutional services of \$339 million annually.

For state fiscal year beginning April 1, 2020 through March 31, 2021, continues adjustments for hospital inpatient services provided on and after April 1, 2012, to public general hospitals, other than those operated by the State of New York or the State University of New York, located in a city with a population of over one million and receiving reimbursement of up to \$1.08 billion annually based on criteria and methodology set by the Commissioner of Health, which the Commissioner may periodically set through a memorandum of understanding with the New York City Health and Hospitals Corporation. Such adjustments shall be paid by means of one or more estimated payments. Payments to eligible public general hospitals may be added to rates of payment or made as aggregate payments.

For state fiscal year beginning April 1, 2020 through March 31, 2021, supplemental payments will be made to State government owned hospitals. These payments will not exceed the upper payment limit for inpatient services provided by state government-owned hospitals when aggregated with other Medicaid payments.

Effective on or after April 1, 2020, the temporary rate adjustment has been reviewed and approved for Long Island Jewish Medical Center with aggregate payment amounts totaling up to \$1,000,000 for the period April 1, 2020 through March 31, 2021.

Long Term Care Services

Effective on or after April 1, 2020, continues additional payments to non-state government operated public residential health care facilities, including public residential health care facilities located in Nassau, Westchester, and Erie Counties, but excluding public residential health care facilities operated by a town or city within a county, in aggregate amounts of up to \$500 million. The amount allocated to each eligible public RHCF will be in accordance with the previously approved methodology, provided, however that patient days shall be utilized for such computation reflecting actual reported data for 2018 and each representative succeeding year as applicable. Payments to eligible RHCF's may be added to rates of payment or made as aggregate payments.

Effective on or after April 1, 2020, the Department of Health

proposes to amend the Title XIX (Medicaid) State Plan for institutional services related to temporary rate adjustments to long term care providers that are undergoing closure, merger, consolidation, acquisition or restructuring themselves or other health care providers. These payments are authorized by current State statutory and regulatory provisions. The temporary rate adjustments will be reviewed and approved by the CINERGY Collaborative.

The estimated net aggregate increase in gross Medicaid expenditures attributable to this initiative contained in the budget for state fiscal year 2020-2021 is \$30 million.

Effective on or after April 1, 2020, the Department of Health (DOH) will continue the nursing home advanced training program, aimed at teaching staff how to detect early changes in a resident's physical and mental or functional status that could lead to hospitalization. Clinical findings show early detection of patient decline by front line workers, coupled with clinical care models aimed at fostering consistent and continuous care between care givers and patients/families result in better care outcomes. Similarly, nursing homes with higher staff retention rates correlate with better care outcomes and avoided hospital stays. This training program will be developed in cooperation between Nursing Home providers and union representatives offering training opportunities for staff or other qualifying training programs.

These programs and their curricula will be submitted to DOH for review. In addition to offering a training program, eligible facilities must have direct care staff retention rates above the state median. However, hospital-based nursing homes and free standing nursing homes already receiving VAP payments would not be eligible to participate.

The estimated annual net aggregate increase in gross Medicaid expenditures attributable to this initiative contained in the budget for state fiscal year 2020/2021 is \$46 million.

The public is invited to review and comment on this proposed State Plan Amendment, a copy of which will be available for public review on the Department's website at http://www.health.ny.gov/regulations/state_plans/status. In addition, approved SPA's beginning in 2011 are also available for viewing on this website.

Copies of the proposed State Plan Amendments will be on file in each local (county) social services district and available for public review.

For the New York City district, copies will be available at the following places:

New York County
250 Church Street
New York, New York 10018

Queens County, Queens Center
3220 Northern Boulevard
Long Island City, New York 11101

Kings County, Fulton Center
114 Willoughby Street
Brooklyn, New York 11201

Bronx County, Tremont Center
1916 Monterey Avenue
Bronx, New York 10457

Richmond County, Richmond Center
95 Central Avenue, St. George
Staten Island, New York 10301

For further information and to review and comment, please contact:
Department of Health, Division of Finance and Rate Setting, 99 Washington Ave., One Commerce Plaza, Suite 1432, Albany, NY 12210, spa_inquiries@health.ny.gov

PUBLIC NOTICE

New York City Deferred Compensation Plan & NYCE IRA

The New York City Deferred Compensation Plan & NYCE IRA (the "Plan") is seeking proposals from qualified vendors to provide master custodial services to the City of New York Deferred Compensation Plan. The Request for Proposals ("RFP") will be available beginning on Wednesday, March 18, 2020. Responses are due no later than 4:30 p.m. Eastern Time on Thursday, May 28, 2020. To obtain a copy of the RFP, please visit the Plan's web site at www1.nyc.gov/site/olr/about/about-rfp.page and download and review the applicable documents.

If you have any questions, please submit them by fax to Georgette Gestely, Director, at (212) 306-7376.

Consistent with the policies expressed by the City, proposals from certified minority-owned and/or women-owned businesses or proposals that include partnering arrangements with certified minority-owned and/or women-owned firms are encouraged. Additionally, proposals from small and New York City-based businesses are also encouraged.

PUBLIC NOTICE

Department of State

F-2019-1092

Date of Issuance – March 25, 2020

The New York State Department of State (DOS) is required by Federal regulations to provide timely public notice for the activities described below, which are subject to the consistency provisions of the Federal Coastal Zone Management Act (CZMA) of 1972, as amended.

The applicant has certified that the proposed activities comply with and will be conducted in a manner consistent with the federally approved New York State Coastal Management Program (NYSCMP). The applicant's consistency certification and accompanying public information and data are available for inspection at the New York State Department of State offices located at One Commerce Plaza, 99 Washington Avenue, in Albany, New York.

In F-2019-1092, Charles Chick is proposing to replace existing dock and remove old bulkhead retaining wall to install a new retaining wall with 260 yards of fill behind new wall. This project is located at 24 Lake Road East Fork, Town of Hamlin, Monroe County, Sandy Creek.

The applicant's consistency certification and supporting information are available for review at: <http://www.dos.ny.gov/opd/programs/pdfs/Consistency/F-2019-1092.pdf>

The proposed activity would be located within or has the potential to affect the following Special Management or Regulated Area(s):

- Sandy Creek Significant Coastal Fish and Wildlife Habitat: <https://www.dos.ny.gov/opd/programs/consistency/scfwhabitats.html>
- Town of Hamlin Local Waterfront Revitalization Program: https://www.dos.ny.gov/opd/programs/WFRevitalization/LWRP_status.html

Any interested parties and/or agencies desiring to express their views concerning any of the above proposed activities may do so by filing their comments, in writing, no later than 4:30 p.m., 15 days from the date of publication of this notice or April 9, 2020.

Comments should be addressed to: Department of State, Office of Planning and Development and Community Infrastructure, Consistency Review Unit, One Commerce Plaza, Suite 1010, 99 Washington Ave., Albany, NY 12231, (518) 474-6000. Electronic submissions can be made by email at: CR@dos.ny.gov

This notice is promulgated in accordance with Title 15, Code of Federal Regulations, Part 930.

PUBLIC NOTICE

Department of State

F-2019-1093

Date of Issuance – March 25, 2020

The New York State Department of State (DOS) is required by Federal regulations to provide timely public notice for the activities

described below, which are subject to the consistency provisions of the Federal Coastal Zone Management Act (CZMA) of 1972, as amended.

The applicant has certified that the proposed activities comply with and will be conducted in a manner consistent with the federally approved New York State Coastal Management Program (NYSCMP). The applicant's consistency certification and accompanying public information and data are available for inspection at the New York State Department of State offices located at One Commerce Plaza, 99 Washington Avenue, in Albany, New York.

In F-2019-1093, Kevin Chick is proposing to remove existing bulkhead retaining wall and dock and install of a new retaining wall in place but raised with 220 yards of fill placed behind wall. This project is located at 34 Lake Road East Fork, Town of Hamlin, Monroe County, Sandy Creek.

The applicant's consistency certification and supporting information are available for review at: <http://www.dos.ny.gov/opd/programs/pdfs/Consistency/F-2019-1093.pdf>

The proposed activity would be located within or has the potential to affect the following Special Management or Regulated Area(s):

- Sandy Creek Significant Coastal Fish and Wildlife Habitat: <https://www.dos.ny.gov/opd/programs/consistency/scfwhabitats.html>
- Town of Hamlin Local Waterfront Revitalization Program: https://www.dos.ny.gov/opd/programs/WFRevitalization/LWRP_status.html

Any interested parties and/or agencies desiring to express their views concerning any of the above proposed activities may do so by filing their comments, in writing, no later than 4:30 p.m., 15 days from the date of publication of this notice or April 9, 2020.

Comments should be addressed to: Department of State, Office of Planning and Development and Community Infrastructure, Consistency Review Unit, One Commerce Plaza, Suite 1010, 99 Washington Ave., Albany, NY 12231, (518) 474-6000. Electronic submissions can be made by email at: CR@dos.ny.gov

This notice is promulgated in accordance with Title 15, Code of Federal Regulations, Part 930.

PUBLIC NOTICE

Department of State

F-2019-1100

Date of Issuance – March 25, 2020

The New York State Department of State (DOS) is required by Federal regulations to provide timely public notice for the activities described below, which are subject to the consistency provisions of the Federal Coastal Zone Management Act of 1972, as amended.

The applicant has certified that the proposed activity complies with and will be conducted in a manner consistent with the approved New York State Coastal Management Program. The applicant's consistency certification and accompanying public information and data are available for inspection on the New York State Department of State's website at <http://www.dos.ny.gov/opd/programs/pdfs/Consistency/F-2019-1100.pdf>

In F-2019-1100, or the "Reymond Waterfront Improvements", the applicant – Dana Reymond – proposes to rehabilitate portions of the existing seawalls. The section of seawall along the northern property line will be repaired in place. The section of seawall along the north western property line will be rebuilt in-kind and in-place. An existing concrete wall will be demolished to allow room for a 3 foot by 3 foot by 7.25 foot concrete for the foundation to the gangway. The proposed dock will comprise of the concrete foundation for the gangway, a 4 foot by 50 foot aluminum gangway and an 8 foot by 20 foot timber float. Also, four mushroom anchors and chains attached to the bottom of the float are proposed.

"The purpose of this project is to provide maintenance and improve structural stability of the existing flood and erosion control structures. Also, the project will allow safe and reasonable access to the Hudson River for recreational fishing, swimming, boating, etc." The project is located at 2, 4 and 6 Hudson River Lane in the Town of Garrison, Putnam County on the Hudson River.

Any interested parties and/or agencies desiring to express their views concerning the above proposed activities may do so by filing their comments, in writing, no later than 4:30 p.m., 15 days from the date of publication of this notice, or, April 9, 2020.

Comments should be addressed to: Consistency Review Unit, Department of State, Planning, Development and Community Infrastructure, One Commerce Plaza, 99 Washington Ave., Albany, NY 12231, (518) 474-6000, Fax (518) 473-2464. Electronic submissions can be made by email at: CR@dos.ny.gov

This notice is promulgated in accordance with Title 15, Code of Federal Regulations, Part 930.

PUBLIC NOTICE

Department of State

F-2019-1209

Date of Issuance – March 25, 2020

The New York State Department of State (DOS) is required by Federal regulations to provide timely public notice for the activities described below, which are subject to the consistency provisions of the Federal Coastal Zone Management Act of 1972, as amended.

The applicant has certified that the proposed activity complies with and will be conducted in a manner consistent with the approved New York State Coastal Management Program.

In F-2019-1209 or the “West 30th Street Heliport”, the applicant Air Pegasus Heliport, Inc., is proposing to replace an existing 260’ x 50’ barge with a new barge that is roughly the same footprint with a shallower draft. The piles will be (4) 36-inch diameter spud piles, hollow installed at the four corners of the barge. The authorized work is located at W. 30th Street and 12th Avenue, New York, New York, Hudson River.

The applicant’s consistency certification and supporting information are available for review at: http://www.dos.ny.gov/opd/programs/pdfs/Consistency/F-2019-1209_Air_Pegasus_App.pdf

Original copies of public information and data submitted by the applicant are available for inspection at the New York State Department of State offices located at One Commerce Plaza, 99 Washington Avenue, in Albany, New York.

Any interested parties and/or agencies desiring to express their views concerning any of the above proposed activities may do so by filing their comments, in writing, no later than 4:30 p.m., 30 days from the date of publication of this notice, or, April 24, 2020.

Comments should be addressed to: Consistency Review Unit, Department of State, Office of Planning, Development & Community Infrastructure, One Commerce Plaza, 99 Washington Ave., Albany, NY 12231, (518) 474-6000, Fax (518) 473-2464. Electronic submissions can be made by email at: CR@dos.ny.gov

This notice is promulgated in accordance with Title 15, Code of Federal Regulations, Part 930.

PUBLIC NOTICE

Department of State

Uniform Code Variance / Appeal Petitions

Pursuant to 19 NYCRR Part 1205, the variance and appeal petitions below have been received by the Department of State. Unless otherwise indicated, they involve requests for relief from provisions of the New York State Uniform Fire Prevention and Building Code. Persons wishing to review any petitions, provide comments, or receive actual notices of any subsequent proceeding may contact Brian Tollisen or Neil Collier, Building Standards and Codes, Department of State, One Commerce Plaza, 99 Washington Ave., Albany, NY 12231, (518) 474-4073 to make appropriate arrangements.

2020-0116 Matter of JW Consulting, John Weis, PO Box 674, Cooram, NY 11727, for a variance concerning safety requirements, including the ceiling height and height under a girder/soffit. Involved is an existing one family dwelling located at 78 Marcella Drive; Town of Brookhaven, NY 11968 County of Suffolk, State of New York.

2020-0121 Matter of Nassau Expeditors Inc., Scott Tirone, 75

Albertson Avenue, Albertson, NY 11507, for a variance concerning safety requirements, including the ceiling height and height under a girder/soffit. Involved is an existing one family dwelling located at 134 Leonard Circle; Town of North Hempstead, NY 11040 County of Nassau, State of New York.

2020-0130 Matter of Ravindra Harcharan, 88 Hawthorne Place, Malverne, NY 11565, for a variance concerning safety requirements, including the ceiling height and height under a girder/soffit. Involved is an existing one family dwelling located at 88 Hawthorne Place; Village of Malverne, NY 11565 County of Nassau, State of New York.

2020-0131 Matter of Long Island Perfect Permits, Chris Ross, 124 Front St. Suite 205, Massapequa Park, NY 11762, for a variance concerning safety requirements, including the height under a girder/soffit. Involved is an existing one family dwelling located at 145 Turkey Lane; Town of Huntington, NY 11724 County of Suffolk, State of New York.

2020-0132 Matter of Long Island Perfect Permits, 124 Front St., Suite 205, Massapequa Park, NY 11762, for a variance concerning safety requirements, including the ceiling height. Involved is an existing one family dwelling located at 1304 Bellmore Road; Town of Hempstead, NY 11710 County of Nassau, State of New York.

2020-0133 Matter of Architectural Communications, Donald Alberto, 68 Highland Ave, Port Washington, NY 11050, for a variance concerning safety requirements, including the ceiling height and height under a girder/soffit. Involved is an existing one family dwelling located at 36 Middle Neck Road; Town of North Hempstead, NY 11050 County of Nassau, State of New York.

EXECUTIVE ORDERS

Executive Order No. 147.33: A Special Prosecutor to Investigate and Prosecute Matters Relating to the Deaths of Civilians Caused by Law Enforcement Officers.

In view of the request of Attorney General Letitia James, my order and requirement, embodied in Executive Order Number one hundred and forty-seven, dated July 8, 2015, is hereby amended to include an additional paragraph to the penultimate paragraph as amended by Executive Order Numbers 147.1 - 147.32 to read as follows:

FURTHER, the requirement imposed on the Special Prosecutor by this Executive Order shall include the investigation, and if warranted, prosecution:

(gg) of any and all unlawful acts or omissions or alleged unlawful acts or omissions by any law enforcement officer, as listed in subdivision 34 of section 1.20 of the Criminal Procedure Law, arising out of, relating to, or in any other way connected with the death of Matthew Felix on February 25, 2020, in Queens County.

(L.S.)

GIVEN under my hand and the Privy Seal of the State in the City of Albany this second day of March in the year two thousand twenty.

BY THE GOVERNOR

/S/ Andrew M. Cuomo

/s/ Melissa DeRosa

Secretary to the Governor

Executive Order No. 168.32: Continuing the Declaration of a Disaster Emergency in the Five Boroughs of New York City and the Counties of Dutchess, Nassau, Orange, Putnam, Rockland, Suffolk and Westchester that Incorporate the MTA Region in the State of New York.

WHEREAS, pursuant to Executive Order No. 168, a disaster has heretofore been declared in the five boroughs of New York City and the Counties of Dutchess, Nassau, Orange, Putnam, Rockland, Suffolk and Westchester that incorporate the Metropolitan Transportation Authority (MTA) Region in the State of New York due to increasingly constant and continuing failures of the tracks, signals, switches and other transportation infrastructure throughout the system including at Pennsylvania Station located in the County of New York (Penn Station), that have resulted in various subway derailments, extensive track outages, and substantial service disruptions impacting the health and safety of hundreds of thousands of riders;

WHEREAS, the ongoing failures of the tracks, signals, switches and other transportation infrastructure throughout the MTA's rail and subway system continue to pose an imminent threat and have a vast and deleterious impact on the health, safety, and livelihood of commuters, tourists, resident New Yorkers, as well as business and commerce in the Metropolitan Commuter Transportation District (MCTD), which is the recognized economic engine of the State of New York, and thereby have adversely affected the New York State economy;

WHEREAS, the track outages and service disruption necessary to implement the Amtrak Repair Program, and other repairs necessary to fix tracks, signals, switches and other transportation infrastructure throughout the MTA's rail and subway system continue to be necessary to protect the public, health and safety of commuters, tourists,

resident New Yorkers, and will continue to worsen the transportation disaster emergency that currently exists due to the condition of Penn Station and the MTA's rail and subway system as a whole; and,

WHEREAS, it continues to be necessary for the MTA and its subsidiaries and affiliates to take significant and immediate action to assist in the repair of the tracks, signals, switches and other transportation infrastructure and in the mediation of such track outages and service disruptions due to this disaster emergency;

NOW, THEREFORE, I, ANDREW M. CUOMO, Governor of the State of New York, by virtue of the authority vested in me by the Constitution and the Laws of the State of New York, do hereby extend the state disaster emergency declared pursuant to Executive Order No. 168 and extend all of the terms, conditions, and directives of Executive Order No. 168 and the terms, conditions, and directives for any extensions of the same for the period from the date that the disaster emergency was declared pursuant to Executive Order No. 168 until February 4, 2020; provided that the temporary suspension of any laws, rules, regulations or guidelines pursuant to this and any future extensions of Executive Order 168 shall apply to the extent the Chairman of the MTA or his designee, which shall only include the MTA's President or Managing Director, determines it necessary for the purposes of awarding any contracts, leases, licenses, permits or any other written agreement that may be entered into to mitigate such disaster emergency.

(L.S.)

GIVEN under my hand and the Privy Seal of the State in the City of Albany the fifth day of January in the year two thousand twenty.

BY THE GOVERNOR

/S/ Andrew M. Cuomo

/s/ Melissa DeRosa

Secretary to the Governor

COURT NOTICES

AMENDMENT OF RULE

Uniform Rules for Courts Exercising Criminal Jurisdiction

Pursuant to the authority vested in me, and upon consultation with and agreement of the Administrative Board of the Courts, I hereby amend sections 200.16 and 200.27 of the uniform rules for courts exercising criminal jurisdiction (22 NYCRR Part 200) as follows, effective January 1, 2020:

•••

200.16/200.27: Issuance of Order Confirming Disclosure and Notice Obligations

In all criminal actions on an indictment, prosecutor's information, information, or simplified information, [where counsel for the defendant has provided the prosecutor with a written demand as specified under CPL 240.10(1) and 240.20, or where the prosecution has waived such demand,] the court shall issue an order to prosecution and defense counsel that, inter alia, (1) confirms the prosecutor's disclosure obligations pursuant to *Brady v. Maryland*, 373 U.S. 83 (1963), *Giglio v. United States*, 405 U.S. 413 (1972), *People v. Geaslen*, 54 N.Y.2d 510 (1981), and their progeny; and (2) confirms defense counsel's professional obligation to provide effective assistance of counsel and meet defendant's statutory notice obligations. The order shall be issued on the first scheduled court date, following [demand] *arraignment*, where both the prosecutor and defense counsel are present. The Chief Administrator of the Courts shall promulgate a model order for this purpose that the court may use as it deems appropriate.

FINANCIAL REPORTS



**Department of
Taxation and Finance**

Depositories for the Funds of the State of New York

Month End: February 29, 2020

Prepared by the Division of the Treasury
Investments, Cash Management and Accounting Operations

Michael R Schmidt
Commissioner

**ACCOUNTS HELD IN JOINT CUSTODY BY THE COMMISSIONER OF
TAXATION FINANCE AND THE NEW YORK STATE COMPTROLLER**

Unemployment Insurance Funding Account	Key Bank	2,865,387.05
Occupational Training Act Funding Account	Key Bank	52,538.51
Unemployment Insurance Exchange Account	Key Bank	0.00
PIT Special Refund Account	JPMorgan Chase Bank, N.A.	(198,678,048.31)
General Checking	Key Bank	(473,993,205.96)
Direct Deposit Account	Wells Fargo	126,125.29
TOTAL		(217,945,003.32)
01000 - EXECUTIVE CHAMBER		
Executive Chamber Advance Account	Key Bank	No report received
01010 - DIVISION OF BUDGET		
Advance Account	Bank of America, N.A.	5,000.00
01030 - DIVISION OF ALCOHOLIC BEVERAGE CONTROL		
Albany		
SLA Investigations Account	Key Bank	1,991.08
01050 - OFFICE OF GENERAL SERVICES		
Exec Mansion Official Function	Key Bank	2,451.68
NY ISO Account	Key Bank	2,670,865.33
OGS Binghamton Office Bldg	Key Bank	136.54
SNY Office of General Services	JPMorgan Chase Bank, N.A.	3,329.16
State of New York OGS Escrow II	Key Bank	2,817,894.73
State of New York OGS Petty Cash	Key Bank	286,557.59
State of New Your OGS Escrow	Key Bank	119,884.43
State of NY Office Of General Services	Key Bank	8,014.76
01060 - DIVISION OF STATE POLICE		
CNET Confidential Account	Key Bank	0.00
Div Headquarters - Petty Cash	Key Bank	1,366.65
Key Advantage Account	Key Bank	82,964.84
Manhattan Office-confidential	JPMorgan Chase Bank, N.A.	500.00
NYS Police Special Account	Key Bank	562,451.14
NYSP CTIU Confidential Fund	Key Bank	3,600.00
SIU Confidential Fund Account	Key Bank	8,164.10
Special Fund	Key Bank	48,912.26
State Police Receipts Account	Bank of America, N.A.	170,104.00
Troop A Batavia - Petty Cash	Bank of America, N.A.	700.00
Troop A Batavia-Confidential	Bank of America, N.A.	3,500.00
Troop B Confidential	Key Bank	5,900.00
Troop B Petty Cash	Community Bank	1,000.00
Troop C Confidential Fund	NBT Bank	4,300.00
Troop C Petty Cash	NBT Bank	1,000.00
Troop D Oneida - Confidential	Alliance Bank	3,000.00
Troop D Oneida Petty Cash	Alliance Bank	1,000.00
Troop E Canandaigua Confidential	Canandaigua National Bank	2,000.00
Troop E Petty Cash	Canandaigua National Bank	1,000.00
Troop F Confidential	JPMorgan Chase Bank, N.A.	2,500.00
Troop F Petty Cash	JPMorgan Chase Bank, N.A.	1,000.00
Troop G Loudonville Conf	Bank of America, N.A.	9,426.23
Troop G Petty Cash	Bank of America, N.A.	1,000.00
Troop K Petty Cash	Bank of Millbrook	745.75
Troop K Poughkeepsie-Confidential	Bank of Millbrook	5,989.01
Troop L Confidential Fund	Bank of America, N.A.	7,400.00
01070 - DIVISION OF MILITARY & NAVAL AFFAIRS		
Advance For Travel	Key Bank	13,371.82
SNY Camp Smith Billeting Fund	JPMorgan Chase Bank, N.A.	9,607.64
01077 - OFFICE OF HOMELAND SECURITY		
Academy Of Fire Science	Chemung Canal Trust	216,417.75
01080 - DIVISION OF HOUSING & COMMUNITY RENEWAL		
Albany Office Of Financial Administration		
Maximum Base Rent Fee Account	JPMorgan Chase Bank, N.A.	8,264.53
Revenue Account	JPMorgan Chase Bank, N.A.	353,429.36
01090 - DIVISION OF HUMAN RIGHTS		
Petty Cash Fund Account	JPMorgan Chase Bank, N.A.	No report received
01150 - OFFICE OF EMPLOYEE RELATIONS		
GOER Panel Administration Escrow Account	Key Bank	3,830.07
NYS Flex Spending	Key Bank	141,156.18
State of New York LMC Petty Cash Account	Key Bank	2,000.00
01160 - JUSTICE CENTER FOR THE PROTECTION OF PEOPLE WITH SPECIAL NEEDS		
Agency Advance Account	Key Bank	No report received
01300 - ADIRONDACK PARK AGENCY		

General Fund	Community Bank	No report received
Petty Cash	Community Bank	No report received
01400 - CRIME VICTIMS COMPENSATION BOARD		
Crime Victims	JPMorgan Chase Bank, N.A.	95,444.40
Emergency Award Account	M&T Bank	0.00
Emergency Claims	Key Bank	(1,640.44)
Petty Cash Account	Key Bank	1,550.00
REST/SUBROG Escrow Account	Key Bank	389.66
01490 - DIVISION OF CRIMINAL JUSTICE SERVICES		
Advance Account	Bank of America, N.A.	2,900.00
FBI Fee Account	Bank of America, N.A.	3,957.71
Fingerprint Fee Account	Bank of America, N.A.	769,661.25
01530 - STATE COMMISSION OF CORRECTION		
Advance Account	Bank of America, N.A.	2,000.00
01540 - STATE BOARD OF ELECTIONS		
Revenue Account	Key Bank	No report received
01620 - OFFICE FOR PREVENTION OF DOMESTIC VIOLENCE		
NYS Prevention Domestic Violence	Bank of America, N.A.	No report received
02000 - OFFICE OF THE STATE COMPTROLLER		
Admissions	Bank of America, N.A.	402,254.10
Advance for Travel Account	Key Bank	No report received
Alcohol Beverage	Bank of America, N.A.	108,396.88
Alcoholic Bev Control License	Wells Fargo Bank	135,809.67
Alcoholic Beverage Control License	M&T Bank	208,398.33
Assessments Bulk	JPMorgan Chase Bank, N.A.	111,053,044.12
Assessments Receivable	JPMorgan Chase Bank, N.A.	6,049,632.71
Assessments Receivable (EFT)	Wells Fargo Bank	308,887.86
Boxing And Wrestling Tax	Bank of America, N.A.	68,435.69
Check 21 Corporation Tax	JPMorgan Chase Bank, N.A.	275,222.64
Check 21 Estate Tax	JPMorgan Chase Bank, N.A.	1,712,420.52
Check 21 Highway Use	JPMorgan Chase Bank, N.A.	277,583.71
Check 21 PIT	JPMorgan Chase Bank, N.A.	1,083,837.25
Check 21 Real Estate Transfer	JPMorgan Chase Bank, N.A.	492,946.67
Check Sales Tax	JPMorgan Chase Bank, N.A.	1,300,220.15
Cigarette Stamp Sales Tax	JPMorgan Chase Bank, N.A.	0.00
Cigarette Stamp Tax	JPMorgan Chase Bank, N.A.	100.00
Cigarette Stamp Tax (EFT)	Wells Fargo Bank	1,340,951.81
Cigarette Stamp Tax Split	JPMorgan Chase Bank, N.A.	310,534.41
Cigarette Tax Tobacco Products	Bank of America, N.A.	83,844.97
Congestion Surcharge	Wells Fargo Bank	34,026.26
Corporation Tax	Wells Fargo Bank	923.67
Corporation Tax - Coupon Acct.	JPMorgan Chase Bank, N.A.	128,284.23
Educational Charitable Account	Wells Fargo Bank	0.00
Employer Compensation Expense	Wells Fargo Bank	8,280.53
Encon Beverage Container Deposit/Bottle Bill (EFT)	Wells Fargo Bank	212,613.80
ERS Petty Cash Acct	Key Bank	No report received
Estate Tax	Bank of America, N.A.	10,923.42
Estimated Tax	JPMorgan Chase Bank, N.A.	5,722,762.83
Gift Tax	Bank of America, N.A.	26,125.00
Hazardous Waste	Key Bank	37,767.00
Health Charitable Account	Wells Fargo Bank	0.00
Highway Use - Permits & Reg.	Bank of America, N.A.	73,389.38
Highway Use Truck Mileage Tax (EFT)	Wells Fargo Bank	346,673.86
Hudson River-Black River	Bank of America, N.A.	168,734.04
Hudson River-Black River	Community Bank	36,560.30
Hut/Oscar Registrations & Renewals (EFT)	Wells Fargo Bank	104,046.00
IFTA Fuel Use Tax (EFT)	Wells Fargo Bank	21,575.11
IFTA/Oscar Renewals (EFT)	Wells Fargo Bank	92,720.00
IFTA-Decal/Permit Fee Acct.	Bank of America, N.A.	24,700.50
IFTA-Fuel Use	Bank of America, N.A.	23,897.94
Income Tax - LLC	JPMorgan Chase Bank, N.A.	380,126.76
Justice Court	Key Bank	615,262.11
MCTD Medallion Taxicab Trip	JPMorgan Chase Bank, N.A.	4,232.00
Medallion Taxicab Trip Tax (EFT)	Wells Fargo Bank	100,805.60
Medical Marijuana Tax Collections	Bank of America, N.A.	1,399.39
Metro Commuter Trans. Mobility	JPMorgan Chase Bank, N.A.	4,624.18
Ogdensburg Bridge & Port	Community Bank	26,007.28
Opioid Excise Tax	Wells Fargo Bank	50,863.70
Personal Income Tax	Wells Fargo Bank	73,819.05
Petroleum Business Tax (EFT)	Wells Fargo Bank	302,514.09
Petroleum Products Tax	Bank of America, N.A.	3,185,307.43
Petty Cash Account	Key Bank	No report received
PIT Bulk	JPMorgan Chase Bank, N.A.	46,326.00
Port Of Oswego	Key Bank	207,845.09

Promptax - MCTMT	Wells Fargo Bank	1,835,289.66
Promptax - Petroleum Business Tax	Wells Fargo Bank	1,159.90
Promptax - Sales Tax/Sales Tax Prepaid Fuel	Wells Fargo Bank	571.01
Promptax - Withholding	Wells Fargo Bank	6,573,836.35
Promptax - Withholding Checks	JPMorgan Chase Bank, N.A.	30,660.34
Real Estate Transfer Tax	Key Bank	59,354.13
Revenue Holding	First Niagara Bank	5,733,000.00
Sales Tax	JPMorgan Chase Bank, N.A.	0.00
Sales Tax	Wells Fargo Bank	211,914.66
SUNY Concentration	First Niagara Bank	781,000.00
TNC Assessment (EFT)	Wells Fargo Bank	1,366.80
Troy Debt Service Reserve Fund	Bank of America, N.A.	11,797,960.35
Uncashed Winning Tickets	Bank of America, N.A.	25,331.90
Unclaimed Funds	JPMorgan Chase Bank, N.A.	5,745,479.16
Unclaimed Funds - 2	JPMorgan Chase Bank, N.A.	6,533.30
Withholding	Wells Fargo Bank	467.34
Withholding Tax	JPMorgan Chase Bank, N.A.	17,424,356.24
Cash Advance Accounts		
Advance For Travel Account	Key Bank	400.00
ERS Petty Cash Acct	Key Bank	5,100.00
Petty Cash Account	Key Bank	2,850.00
Common Retirement Fund		
Common Retirement Fund - Depository	JPMorgan Chase Bank, N.A.	(869.04)
NYS Common Retirement Fund	JPMorgan Chase Bank, N.A.	246,879.28
Employees Retirement System		
Employees Retirement System - EFT	JPMorgan Chase Bank, N.A.	178.29
Employees Retirement System - General	JPMorgan Chase Bank, N.A.	4,850.00
Employees Retirement System - Pension	JPMorgan Chase Bank, N.A.	0.00
Group Term Life		
Group Term Life - General	JPMorgan Chase Bank, N.A.	0.00
Municipal Assistance Corporation Accounts		
City Of Troy - MAC	JPMorgan Chase Bank, N.A.	0.00
Police and Fire		
Retirement Police & Firemen's - EFT	JPMorgan Chase Bank, N.A.	13.36
Retirement Police & Firemen's - General	JPMorgan Chase Bank, N.A.	0.00
Retirement Police & Firemen's - Pension	JPMorgan Chase Bank, N.A.	0.00
03000 - DEPARTMENT OF LAW		
Albany Filing Fees Account	Key Bank	No report received
Albany Petty Cash	Bank of America, N.A.	No report received
Albany Revenue Account	Key Bank	No report received
Assessment Account	JPMorgan Chase Bank, N.A.	No report received
Attorney General Account	Key Bank	No report received
Civil Recoveries Account	Key Bank	No report received
Dept Of Law Controlled Disb	M&T Bank	No report received
Marie Roberts	JPMorgan Chase Bank, N.A.	No report received
NYC Filing Fees Account	JPMorgan Chase Bank, N.A.	No report received
NYC Petty Cash Account	JPMorgan Chase Bank, N.A.	No report received
NYC Revenue Account	JPMorgan Chase Bank, N.A.	No report received
Restitution Account	M&T Bank	No report received
Special Account	Key Bank	No report received
US Justice Dept - Shared Forfeiture	Key Bank	No report received
US Treas Dept - Shared Forfeiture	Key Bank	No report received
03010 - OFFICE OF THE ATTORNEY GENERAL		
OCTF - Confidential Fund Checking	JPMorgan Chase Bank, N.A.	No report received
OCTF - Confidential Fund Checking	JPMorgan Chase Bank, N.A.	No report received
03020 - MEDICAID FRAUD CONTROL		
dept atty gen vs john doe	Key Bank	11,907,844.38
National Global Settlement	JPMorgan Chase Bank, N.A.	6,912,100.48
NYS Department Of Law Confidential Account	JPMorgan Chase Bank, N.A.	39,260.00
NYS Department of Law Petty Cash Account	JPMorgan Chase Bank, N.A.	5,293.88
04020 - NYS ASSEMBLY		
Advance For Travel	Bank of America, N.A.	4,000.00
Petty Cash Account Dist Off	Bank of America, N.A.	20,809.32
Petty Cash New York City	JPMorgan Chase Bank, N.A.	722.56
Public Information Office	Key Bank	0.25
04030 - ASSEMBLY WAYS & MEANS COMMITTEE		
Advance For Travel	Key Bank	No report received
Petty Cash	Key Bank	No report received
04040 - LEGISLATIVE BILL DRAFTING COMMISSION		
NY LBDC - Legislative Computer Services Fund	Key Bank	17,431.14
NYS Leg Bill Drafting Comm-Petty Cash Acct	Key Bank	2,000.00
04250 - REAPPORTIONMENT		
NYS Taskforce On Demo Res & Reapp	JPMorgan Chase Bank, N.A.	125.00
05000 - OFFICE OF COURT ADMINISTRATION		

Attorney Registration Fees - Revenue	JPMorgan Chase Bank, N.A.	1,122,095.00
Criminal Records Search Acct - Revenue	JPMorgan Chase Bank, N.A.	6,610,555.00
Finger Print Account	JPMorgan Chase Bank, N.A.	5,475.00
Petty Cash Acct	JPMorgan Chase Bank, N.A.	467.50
05005 - OCA OFFICE OF BUDGET & FINANCE		
Petty Cash Account	Key Bank	2,500.00
05008 - LAWYERS FUND FOR CLIENT PROTECTION		
Client Security Fund - Bail	Key Bank	3,418,457.02
Lawyers Fund For Client Protection - Bail	Key Bank	700.74
Petty Cash	Key Bank	2,202.17
05071 - COURT OF APPEALS		
Chief Judge Advance	Key Bank	65.07
Clerk Of The Court Of Appeals	Key Bank	1,980.00
05072 - STATE BOARD OF LAW EXAMINERS		
State Board Of Law Examiners Fee	Key Bank	43,630.00
05081 - APPELLATE DIVISION - 1ST JUDICIAL DEPARTMENT		
1st Appellate Division Supreme Ct	JPMorgan Chase Bank, N.A.	74,997.55
05082 - APPELLATE DIVISION - 2ND JUDICIAL DEPARTMENT		
Appellate Div 2nd Dept Revenue	JPMorgan Chase Bank, N.A.	86,086.50
05083 - APPELLATE DIVISION - 3RD JUDICIAL DEPARTMENT		
Third Dept Civil Fees Acct - Revenue	Key Bank	25,359.50
05084 - APPELLATE DIVISION - 4TH JUDICIAL DEPARTMENT		
4th Dept Appellate Div Civil Fees - Revenue	JPMorgan Chase Bank, N.A.	12,586.25
05090 - COURT OF CLAIMS		
Court Of Claims Revenue Account	Key Bank	5,270.59
05111 - 10TH JUDICIAL DISTRICT NASSAU COUNTY ADMINISTRATION		
Glen Cove City Court		
Glen Cove City Court Bail	Wells Fargo Bank	3,001.83
Glen Cove City Court Revenue	Wells Fargo Bank	35,470.80
Long Beach City Court		
Long Beach City Court Revenue	Wells Fargo Bank	54,268.00
Long Beach Court Bail	Wells Fargo Bank	34,178.36
Nassau County Court		
Nassau County Assessment	Wells Fargo Bank	43,764.81
Nassau District Court - Criminal		
Nassau Dist Ct Criminal Revenue	Wells Fargo Bank	339,784.40
Nassau District Court-Civil		
Nassau County Dist Ct- Civil Revenue	Wells Fargo Bank	94,375.10
Nassau Surrogate		
Nassau County Surrogate Court-Revenue	Wells Fargo Bank	67,951.50
05112 - 10TH JUDICIAL DISTRICT SUFFOLK COUNTY ADMINISTRATION		
10th Judicial District Suffolk County Admin		
Suffolk County Court -Court Fund	People's United Bank	23,987.55
Suffolk County Surrogate		
Surrogate Court Of Suffolk County	People's United Bank	78,196.50
Suffolk District Court Civil Fees		
Suffolk County District Court Civil Fees	Citibank	318,531.66
Suffolk District Court Criminal Fines		
Suffolk County District Court Criminal Fines	Citibank	291,385.68
Suffolk District Court Trust Acct		
Suffolk County District Court Trust Account	Citibank	4,500.00
05210 - NYC-CIVIL COURT		
Bronx Civil Court - Civil		
Bronx Civil Court - Revenue	JPMorgan Chase Bank, N.A.	22,632.50
Harlem Community Justice Court		
Harlem Community Justice - Revenue Account	JPMorgan Chase Bank, N.A.	2,250.00
Kings Civil Court- Civil		
Kings Civil Court- Civil Revenue	JPMorgan Chase Bank, N.A.	57,637.75
New York Civil Court - Civil		
New York Civil Court Revenue Acct	JPMorgan Chase Bank, N.A.	162,240.50
Queens Civil Court - Civil		
Queens Civil - Revenue	JPMorgan Chase Bank, N.A.	205,606.50
Richmond Civil Court - Civil		
Richmond Civil Ct Revenue Acct	JPMorgan Chase Bank, N.A.	62,791.00
05215 - NYC-CRIMINAL COURT		
Bronx Criminal Court- Criminal Court		
Bronx Criminal Division- Criminal Bail	JPMorgan Chase Bank, N.A.	49,448.00
Bronx Criminal Court- Criminal Court		
Bronx Criminal Division- Criminal Revenue	JPMorgan Chase Bank, N.A.	42,679.00
Kings County Criminal Court		
Kings Criminal Court	Citibank	117,786.00
New York County Criminal Court		
New York Criminal Court	JPMorgan Chase Bank, N.A.	18,525.00
New York Criminal Court- State Funds	JPMorgan Chase Bank, N.A.	63,185.00

Queens County Criminal Court		
Queens Criminal Court	JPMorgan Chase Bank, N.A.	53,588.00
Queens Criminal Court - State Funds	JPMorgan Chase Bank, N.A.	77,225.00
Richmond County Criminal Court		
Richard Criminal Court-City Funds	JPMorgan Chase Bank, N.A.	27,079.00
Richmond Criminal Court-State Funds	JPMorgan Chase Bank, N.A.	18,038.00
05231 - SUPREME COURT - BRONX COUNTY		
Bronx County Supreme - NYS OCA	JPMorgan Chase Bank, N.A.	9,028.00
05235 - SUPREME COURT - KINGS COUNTY		
Kings Co Supreme		
Supreme Court Kings County-Revenue	JPMorgan Chase Bank, N.A.	13,388.29
05240 - SUPREME COURT - QUEENS COUNTY		
Queens Co Supreme		
Queens County Supreme Court	JPMorgan Chase Bank, N.A.	0.00
Queens County Supreme Court	JPMorgan Chase Bank, N.A.	21,822.15
05250 - NEW YORK COUNTY CLERK		
New York Co Clerk Revenue Account	JPMorgan Chase Bank, N.A.	924,662.50
05255 - BRONX COUNTY CLERK		
Bronx County Clerk		
Bronx Cnty Clerk Revenue Acct	JPMorgan Chase Bank, N.A.	650,523.55
05260 - KINGS COUNTY CLERK		
Kings County Clerk		
Kings County Clerk Revenue Account	Flushing Commercial Bank	1,250,014.35
05265 - QUEENS COUNTY CLERK		
Queens County Clerk-Revenue Acct	Sterling Bank	822,004.53
05270 - RICHMOND COUNTY CLERK		
Richmond Co Clerk State Fees Account	JPMorgan Chase Bank, N.A.	6,860,849.74
Richmond County Clerk DEC	JPMorgan Chase Bank, N.A.	88.37
05275 - NEW YORK COUNTY SURROGATES COURT		
New York Surrogate		
New York Surrogate Court	JPMorgan Chase Bank, N.A.	65,719.50
05280 - BRONX COUNTY SURROGATES COURT		
Bronx Surrogate		
Bronx Surrogate Court Revenue Acct	JPMorgan Chase Bank, N.A.	20,953.30
05285 - KINGS COUNTY SURROGATES COURT		
Kings County Surrogate		
Kings Co. Surrogate Revenue Acct	Bank of America, N.A.	58,587.00
05290 - QUEENS COUNTY SURROGATES COURT		
Queens surrogate		
Queens Co Revenue Acct Surrogate	Signature Bank	77,279.50
05295 - RICHMOND COUNTY SURROGATES COURT		
Richmond County Surrogate Court Revenue Account	Victory State Bank	8,630.00
05360 - 3RD JUDICIAL DISTRICT ADMINISTRATION		
Albany City Court - (Civil)		
Albany City Civil - Revenue	Wells Fargo Bank	12,157.80
Albany City Court - (Crim-Bail)		
Albany City Criminal - Bail	Wells Fargo Bank	12,033.42
Albany City Court - (Traffic)		
Albany City Traffic-Revenue	Wells Fargo Bank	125,038.00
Albany Traffic Court - Bail	Bank of America, N.A.	0.00
Albany City Court - Civil Part		
Albany City Court Civil - Revenue	Trustco Bank	0.00
Albany City Court - Crim		
Albany City Court-Crim	Wells Fargo Bank	12,236.00
Albany City Court - Traffic-Bail		
Albany City Traffic - Bail	Wells Fargo Bank	1,300.16
Albany County Surrogate		
Albany Cty Surrogates Court - Revenue	Bank of America, N.A.	14,183.50
Albany Police Court		
Albany Police Court Bail Account	Key Bank	0.00
Cohoes City Court		
Cohoes City Court Bail	Key Bank	5,994.10
Cohoes City Court Fees/Fines Account	Key Bank	16,212.80
Columbia County Surrogate		
Columbia Co Surrogate Ct Fees - Revenue	Key Bank	2,696.75
Greene Surrogate		
Greene Surrogate-Revenue	Wells Fargo Bank	3,863.00
Hudson City Court		
Hudson City Bail	Wells Fargo Bank	31,825.30
Hudson City Court Bail Acct	Trustco Bank	0.00
Hudson City Court Revenue Acct - Revenue	Trustco Bank	0.00
Hudson City Revenue	Wells Fargo Bank	10,431.50
Kingston City Court		
Kingston City Court Bail	Wells Fargo Bank	500.00

Kingston City Court Revenue	Wells Fargo Bank	50,213.06
Rensselaer City Court		
Rensselaer City Court - Bail	Wells Fargo Bank	0.00
Rensselaer City Court - Revenue	Key Bank	1,113.00
Rensselaer City Court - Revenue	Wells Fargo Bank	4,598.00
Rensselaer City Court Bail Acct	Key Bank	3,210.00
Rensselaer County Surrogate		
Rensselaer Co Surrogate Ct Fees - Revenue	Key Bank	5,326.75
Schoharie County Surrogate		
Schoharie Co Surrogates Court - Revenue	Bank of America, N.A.	935.00
Sullivan Surrogate		
Sullivan Surrogate-Revenue	Wells Fargo Bank	2,292.00
Troy City Court		
Troy City Court- Revenue Acct - Revenue	Bank of America, N.A.	78,345.40
Troy Police Court Bail Account	Bank of America, N.A.	12,510.50
Ulster County Surrogate		
Ulster County Surrogate Court - Revenue	Key Bank	5,148.25
Watervliet City Court		
Watervliet Bail	Pioneer Savings Bank	0.00
Watervliet City Court - Bail	Wells Fargo Bank	48,766.51
Watervliet City Court - Revenue	Wells Fargo Bank	31886.80
Watervliet Revenue	Pioneer Savings Bank	0.00
05460 - 4TH JUDICIAL DISTRICT ADMINISTRATION		
Amsterdam City Court		
Amsterdam City Court - Bail	Key Bank	54,979.73
Amsterdam City Court - Revenue	Key Bank	33,335.40
Clinton County Surrogates		
Clinton County Surrogates - Revenue	Key Bank	1,256.00
Essex County Surrogate		
Essex Co Surrogate Clerk - Revenue	Champlain National	1,180.50
Franklin County Surrogate		
Franklin Co Surrogate Court - Revenue	Key Bank	477.00
Fulton County Surrogate		
Fulton County Surrogate's Court	Key Bank	2,421.75
Glens Falls City Court		
Glens Falls City Court Account - Revenue	Glens Falls National	25,062.40
Glens Falls City Court Bail Acct	Glens Falls National	19,510.63
Gloversville City Court		
Gloversville City Court Bail	NBT Bank	25,026.39
Gloversville City Court Revenue	NBT Bank	13,002.50
Hamilton Surrogate		
Hamilton Surrogate - Revenue	Community Bank	2,887.50
Johnstown City Court		
City Of Johnstown Bail Account - Bail	Key Bank	5,177.20
Johnstown City Court Fines/Fees - Revenue	Key Bank	13,960.50
Mechanicville City Court		
Mechanicville City Court Bail	TD Bank	0.00
Mechanicville City Ct Revenue Acct	TD Bank	8,668.40
Montgomery County Surrogate		
Montgomery County Surrogates Court - Revenue	NBT Bank	1,614.00
Ogdensburg City Court		
Ogdensburg City Court Int Bail	Community Bank	1,117.01
Ogdensburg City Court Revenue	Community Bank	10,229.55
Plattsburgh City Court		
Plattsburgh City Court - Bail	Glens Falls National	24,055.98
State Of NY Plattsburgh City Court - Revenue	Glens Falls National	12,695.00
Saratoga County Surrogate		
Saratoga County Surrogate - Revenue	Ballston Spa National Bank	6,060.50
Saratoga Springs City Court		
Saratoga Springs Bail Account	The Adirondack Trust Company	14,031.65
Saratoga Springs City Revenue Acct	The Adirondack Trust Company	24,308.35
Schenectady City Court		
Schenectady City Court- Bail	Bank of America, N.A.	14,629.12
Schenectady City Court Revenue	Bank of America, N.A.	53,347.13
Schenectady Surrogate		
Schenectady Surrogate Court - Revenue	Key Bank	3,456.00
St. Lawrence Co Surrogate		
St. Lawrence County Surrogate - Revenue	Community Bank	2,504.50
Warren County Surrogate		
Warren County Surrogate Court - Revenue	TD Bank	3,528.75
Washington Surrogates		
Washington Surrogate Revenue	TD Bank	1,028.75
05560 - 5TH JUDICIAL DISTRICT ADMINISTRATION		
Fulton City Court		

Fulton City Court Bail Acct	Key Bank	1,516.18
Fulton City Court Revenue	Key Bank	10,441.50
Herkimer Surrogate		
Herkimer Surrogate - Revenue	Partners Trust	1,278.00
Jefferson Surrogates		
Jefferson Co Surrogate Revenue	Key Bank	1,853.00
Lewis County		
Lewis County Clerk	Community Bank	2,020.00
Lewis County Surrogates		
Lewis County Surrogate Court - Revenue	Key Bank	665.00
Little Falls City Court		
Little Falls City Court Bail	Bank of America, N.A.	750.00
Little Falls City Court Revenue	M&T Bank	5,701.50
Oneida County Combined		
Oneida County Combined Court	Adirondack Bank	9,805.00
Oneida County Surrogates		
Oneida County Surrogate Court Revenue	The Adirondack Trust Company	8,020.00
Onondaga County Surrogates		
Onondaga Surrogate Court - Revenue	Alliance Bank	12,445.75
Oswego City Court		
Oswego City Court Bail Acct	JPMorgan Chase Bank, N.A.	9,183.57
Oswego City Court Revenue	JPMorgan Chase Bank, N.A.	15,034.00
Oswego Surrogate Court		
Oswego County Surrogate Court - Revenue	Key Bank	1,009.00
Rome City Court		
City Court Of Rome Bail Account - Bail	Bank of America, N.A.	1,140.25
Rome City Court - Revenue	Bank of America, N.A.	46,406.75
Sherrill City Court		
Sherrill City Court 5th Jud Dist - Bail	Alliance Bank	0.00
Sherrill City Court Fees - Revenue	Alliance Bank	989.00
Syracuse City Court		
Syracuse City Court - Bail	Alliance Bank	110,807.00
Syracuse City Court - Fees - Revenue	Alliance Bank	59,172.00
Utica City Court		
Utica City Court Criminal Bail	Bank of Utica	50,191.50
Utica City Court Revenue Account	Key Bank	48,663.77
Watertown City Court		
Watertown City Court Bail	Key Bank	69,521.35
Watertown City Court Fees & Fines - Revenue	Key Bank	12,961.00
05661 - 6TH JUDICIAL DISTRICT ADMINISTRATION		
Binghamton City Court		
Binghamton City Court Bail	M&T Bank	No report received
Binghamton City Court Revenue	M&T Bank	No report received
Broome Surrogates		
SNY UCS Broome County Surrogates Court	Wells Fargo Bank	No report received
Chemung County Surrogates		
SNY UCS Chemung County Surrogates Court	Wells Fargo Bank	No report received
Chenango County Surrogates		
SNY UCS Chenango County Surrogates Court	Wells Fargo Bank	No report received
Cortland City Court		
Court City Court Bail	NBT Bank	No report received
Court City Court- Revenue	NBT Bank	No report received
Cortland County Surrogates		
SNY UCS Cortland County Surrogates Court	Wells Fargo Bank	No report received
Delaware County Surrogates		
Delaware County Surrogate - Revenue	Delaware National Bank	No report received
Elmira City Court		
Elmira City Court - Revenue Account	Chemung Canal Trust	No report received
Elmira City Court Bail	Chemung Canal Trust	No report received
Ithaca City Court		
Ithaca City Court	Tompkins County Trust	No report received
Ithaca City Court Revenue	Tompkins County Trust	No report received
Madison County Surrogates		
SNY UCS Madison County Surrogates Court	Wells Fargo Bank	No report received
Norwich City Court		
Norwich City Court Bail Acct	NBT Bank	No report received
Norwich City Court Revenue Acct	NBT Bank	No report received
Oneida City Court		
Oneida City Court Bail Account	JPMorgan Chase Bank, N.A.	No report received
Oneida City Court Fee & Fine - Revenue	JPMorgan Chase Bank, N.A.	No report received
Oneonta City Court		
Oneonta City Court - Revenue	Community Bank	No report received
Oneonta City Court Bail Account	Community Bank	No report received
Otsego County Surrogates		

Otsego County Surrogates Court - Revenue	Key Bank	No report received
Schuyler County Surrogates		
Schuyler County Surrogates Court	Community Bank	No report received
Tioga County Surrogates		
Tioga Surrogates Court - Revenue	M&T Bank	No report received
Tompkins County Surrogates		
SNY UCS Tompkins County Surrogates Court	Wells Fargo Bank	No report received
05761 - 7TH JUDICIAL DISTRICT ADMINISTRATION		
Auburn City Court		
Auburn City Court Bail Acct	Key Bank	12,986.55
Auburn City Court Fees & Fines - Revenue	Key Bank	18,286.86
Canandaigua City Court		
Canandaigua City Court Bail Acct	Canandaigua National Bank	19,673.46
Canandaigua City Court Revenue	Canandaigua National Bank	17,400.40
Cayuga County Surrogates		
Cayuga Surrogate Court	Wells Fargo Bank	1,247.00
Corning City Court		
Corning City Court - Bail	Wells Fargo Bank	7,660.93
Corning City Court - Revenue	Wells Fargo Bank	15,539.00
Geneva City Court		
Geneva City Court Bail Account	Wells Fargo Bank	10,663.59
Geneva City Court Revenue Account	Wells Fargo Bank	18,602.00
Hornell City Court		
Hornell City Court Bail Account	Steuben Trust Co.	3,750.16
Hornell City Court Revenue	Steuben Trust Co.	4,896.00
Livingston County Surrogates		
Livingston Surrogate Court	Wells Fargo Bank	3,082.00
Monroe County Surrogates		
7th District Monroe Surrogate	Wells Fargo Bank	26,812.50
Ontario County Surrogates		
Ontario Surrogate Court	Wells Fargo Bank	3,818.00
Rochester City Court		
Rochester City Court Bail Account	M&T Bank	241,088.25
Rochester City Revenue	M&T Bank	59,243.49
Seneca County Surrogates		
Seneca Surrogate Court	Wells Fargo Bank	2,443.25
Steuben County Surrogates		
7th District Steuben Surrogate	Wells Fargo Bank	1,485.00
Wayne County Surrogates		
Wayne Surrogate Court	Wells Fargo Bank	5,193.00
Yates County Surrogates		
Yates Surrogate Court	Wells Fargo Bank	2,150.00
05860 - 8TH JUDICIAL DISTRICT ADMINISTRATION		
Allegany County Surrogates Court		
ST of NY Office of the State Comptroller State of New York Unified Courts Allegany Surrogate Court	Wells Fargo Bank	No report received
Batavia City Court		
Batavia City Bail Account	M&T Bank	No report received
Batavia City Court Revenue	M&T Bank	No report received
Buffalo City Court		
Buffalo City Bail Account	M&T Bank	No report received
ST of NY OFFICE OF THE STATE COMPTROLLER BUFFALO CITY COURT BAIL ACCOUNT	Wells Fargo Bank	No report received
ST of NY OFFICE OF THE STATE COMPTROLLER BUFFALO CITY COURT REVENUE ACCOUNT	Wells Fargo Bank	No report received
Cattaraugus County Surrogates		
ST of NY Office of the State Comptroller State of New York Unified Courts Cattaraugus Surrogate Court	Wells Fargo Bank	No report received
Chautauqua County Surrogates Court		
ST of NY Office of the State Comptroller State of New York Unified Courts Chautauqua Surrogate Court	Wells Fargo Bank	No report received
Dunkirk City Court		
Dunkirk City - Revenue	Key Bank	No report received
ST of NY Office of The State Comptroller Dunkirk Bail Account	Wells Fargo Bank	No report received
ST of NY Office of The State Comptroller Dunkirk Revenue Account	Wells Fargo Bank	No report received
Erie - Buffalo County Law Library		
Sur Ct Lib At Buffalo - Revenue	M&T Bank	No report received
Erie County Surrogates		
ST of NY Office of the State Comptroller State of New York Unified Courts Erie Surrogate Court	Wells Fargo Bank	No report received
Genesee County Surrogates		
ST of NY Office of the State Comptroller State of New York Unified Courts Genesee Surrogate Court	Wells Fargo Bank	No report received
Jamestown City Court		
State of New York Office of Court Administration Jamestown City Court Bail	Key Bank	No report received
State of New York Office of Court Administration Jamestown City Court Revenue	Key Bank	No report received
Lackawanna City Court		
Lackawanna City Court Bail Account	Key Bank	No report received
Lackawanna City Court Revenue Account	Key Bank	No report received
Lockport City Court		
Lockport City - Bail	Key Bank	No report received

Lockport City HESC EFT Account - Revenue	Key Bank	No report received
Niagara City Court		
Niagara Falls Bail Bond Account	M&T Bank	No report received
Niagara City Court - Criminal		
City Court Of Niagara Falls Criminal - Revenue	M&T Bank	No report received
Niagara County Surrogates		
ST of NY Office of the State Comptroller State of New York Unified Courts Niagara Surrogate Court	Wells Fargo Bank	No report received
Niagara Falls City Court		
ST of NY OFFICE OF THE STATE COMPTROLLER NIAGARA FALLS BAIL ACCOUNT	Wells Fargo Bank	No report received
ST of NY OFFICE OF THE STATE COMPTROLLER NIAGARA FALLS REVENUE ACCOUNT	Wells Fargo Bank	No report received
No. Tonawanda City Court		
N. Tonawanda City Court Bail	M&T Bank	No report received
N. Tonawanda City Court Revenue	M&T Bank	No report received
Olean City Court		
Olean City Court Bail Account	Community Bank	No report received
Olean City Court Revenue Account	Community Bank	No report received
Orleans County Surrogates		
ST of NY Office of The State Comptroller State of New York Unified Courts Orleans Surrogate Court	Wells Fargo Bank	No report received
Salamanca City Court		
Salamanca City Court Bail	Community Bank	No report received
Salamanca City Court City Judge - Revenue	Community Bank	No report received
Tonawanda City Court		
ST of NY Office of The State Comptroller Tonawanda City Court Bail	Wells Fargo Bank	No report received
ST of NY Office of The State Comptroller Tonawanda City Court Revenue	Wells Fargo Bank	No report received
Tonawanda City Court Bail	M&T Bank	No report received
Tonawanda City Court Revenue	M&T Bank	No report received
Wyoming County Surrogates		
ST of NY Office of the State Comptroller State of New York Unified Courts Wyoming Surrogate Court	Wells Fargo Bank	No report received
05960 - 9TH JUDICIAL DISTRICT ADMINISTRATION		
Beacon City Court		
Beacon City Court Bail Account - Bail	JPMorgan Chase Bank, N.A.	29,875.30
Beacon City Fines Account - Revenue	JPMorgan Chase Bank, N.A.	5,190.00
Dutchess County Surrogates Court		
Dutchess County Surrogate Court - Revenue	JPMorgan Chase Bank, N.A.	43,644.25
Middletown City Court		
Middletown City Bail Escrow - Bail	JPMorgan Chase Bank, N.A.	44,496.97
Middletown City Bail Escrow - Bail	Wells Fargo Bank	48,435.53
Middletown City Court Revenue	JPMorgan Chase Bank, N.A.	0.00
Middletown City Court Revenue	Wells Fargo Bank	48,001.90
Mt Vernon City Court		
Mt Vernon City Court State Bail	Wells Fargo Bank	108,776.53
Mt Vernon City Court State Revenue	Wells Fargo Bank	49,210.15
New Rochelle City Court		
New Rochelle City Court Bail	JPMorgan Chase Bank, N.A.	231,990.06
New Rochelle City Court Revenue	JPMorgan Chase Bank, N.A.	58,923.38
Newburgh City Court		
Newburgh Bail Account	Wells Fargo Bank	11,686.14
Newburgh City Court Revenue	Wells Fargo Bank	23,029.10
Orange County Surrogates Court		
Orange Co Surrogates Court - Revenue	JPMorgan Chase Bank, N.A.	6,793.50
Peekskill City Court		
Peekskill City Court Revenue	JPMorgan Chase Bank, N.A.	12,170.50
Peekskill City Court		
Peekskill City Court - Bail	JPMorgan Chase Bank, N.A.	34,982.39
Port Jervis City Court		
Port Jervis Bail Account - Bail	JPMorgan Chase Bank, N.A.	2,792.54
Port Jervis Revenue Account - Revenue	JPMorgan Chase Bank, N.A.	25,629.25
Poughkeepsie		
Poughkeepsie City Court -Bail	Wells Fargo Bank	97,043.97
Poughkeepsie City Court -Revenue	Wells Fargo Bank	91,484.18
Putnam Co Surrogate's Court		
Putnam Co Surrogates Court	Putnam County National Bank	16,791.50
Rockland County Surrogates Court		
Rockland Co Surrogates Court - Revenue	JPMorgan Chase Bank, N.A.	10,652.75
Rye City Court		
City Of Rye Bail Account	JPMorgan Chase Bank, N.A.	2,398.54
City Of Rye Fines And Fees - Revenue	JPMorgan Chase Bank, N.A.	26,623.50
Westchester County Surrogates Court		
Westchester Co Surrogates Fees - Revenue	JPMorgan Chase Bank, N.A.	4,617.75
Westchester Co Surrogates Fees - Revenue	Wells Fargo Bank	50,286.50
White Plains City Court		
White Plains City Court Bail Account	Sterling Bank	2,527.86
White Plains City Court Bail Account	Wells Fargo Bank	71,735.32
White Plains City Court Vehicle And Traffic Acct - Revenue	Sterling Bank	1,987.20

White Plains City Court Vehicle And Traffic Acct - Revenue	Wells Fargo Bank	80,897.46
Yonkers City Court		
Yonkers City Bail Account - Bail	Wells Fargo Bank	195,490.72
Yonkers City Revenue Account - Revenue	Wells Fargo Bank	173,260.31
06000 - AGRICULTURE & MARKETS		
Administration Account	Key Bank	40,439.48
Agency Advance Account	Key Bank	10,000.00
Agriculture Producers Sec Fund	Key Bank	16,187.00
Animal Population Control Account	Key Bank	43,090.17
Apple Marketing Order Fund	Key Bank	0.00
Consumer Food Industry Account	Key Bank	41,124.08
Dairy Industry Services Account	Key Bank	49,470.80
Dairy Promotion Order Fund	Key Bank	0.00
Farm Products Grading	JPMorgan Chase Bank, N.A.	0.00
Milk Producers Security Fund	Key Bank	39,346.65
NYS Farmers Market Program	Key Bank	432,776.24
NYS WNY Milk Mktg Area Administration Fund	M&T Bank	54.46
NYS WNY Milk Mktg Area Equalization Fund	M&T Bank	10,719.41
NYS WNY Milk Mktg Area Equalization Fund Savings	M&T Bank	319.21
Onion Marketing Order	Key Bank	0.00
Plants Industry Account	Key Bank	7,918.66
Pride of NY	Key Bank	6,266.98
Sour Cherry Marketing Fund	Key Bank	0.00
State Fair Premium Award Account	Solvay Bank	0.00
Weights & Measures Account	Key Bank	11,448.68
NYS Dept Agriculture & Markets		
Apple Marketing Order Fund	Key Bank	0.00
Dairy Promotion Order Fund	Key Bank	0.00
Farm Products	Key Bank	20,252.27
State Fair		
NYS Fair Operating Account	Solvay Bank	11,964.17
NYS Fair Petty Cash/Travel	Solvay Bank	0.00
NYS Fair Special Account	Solvay Bank	231.20
State Fair Premium Award Account	Solvay Bank	0.00
08000 - DEPARTMENT OF CIVIL SERVICE		
Agency Advance Account	Bank of America, N.A.	3,000.00
Examination Application Fees Account	Bank of America, N.A.	7,483.00
Examination Application Fees Account	Key Bank	12,697.00
NYS Affirmative Action Advisory Account	Bank of America, N.A.	5,141.90
NYS Department of Civil Service	US Bank	95,508,096.38
08010 - PUBLIC EMPLOYEE RELATIONS BOARD		
Petty Cash And Travel Advance Account	Key Bank	783.90
09000 - DEPARTMENT OF ENVIRONMENTAL CONSERVATION		
Albany		
Asharoken Feasibility Study	JPMorgan Chase Bank, N.A.	34,253.20
Bayville Feasibility Study	JPMorgan Chase Bank, N.A.	493,826.04
Conservation Petty Cash Account	M&T Bank	30,000.00
DEC/Exchange Account	M&T Bank	20,483.53
ENCON License Issuing Office	M&T Bank	2,724.50
ENCON/Montauk Point Feasibility Study	JPMorgan Chase Bank, N.A.	7,204.05
ENCON/South Shore Of Staten Island	JPMorgan Chase Bank, N.A.	22,916.61
Harbor Drift Removal Proj	JPMorgan Chase Bank, N.A.	0.00
Hunting Trapping & Fishing Account	M&T Bank	179,589.54
Lake Montauk Harbor	JPMorgan Chase Bank, N.A.	156,178.07
Lockbox Account	Wells Fargo Bank	89,469.11
Mattituck Inlet	JPMorgan Chase Bank, N.A.	1,328.90
NY Conservationist	Bank of America, N.A.	28,345.54
Program Fee	JPMorgan Chase Bank, N.A.	82,627.12
Revenue Account	Bank of America, N.A.	1,290,625.21
Rockaway Beach Study & Project	JPMorgan Chase Bank, N.A.	1,265,225.01
State of New York	Key Bank	26,296.59
US Army Coe - Moriches Project	JPMorgan Chase Bank, N.A.	11,165.59
Region 1		
Marine Permit Account	Bank of Smithtown	44,449.25
Region 3		
Beaverkill & Mongaup Pond	Jeff Bank	0.00
Revenue Region 3 Account	Bank of America, N.A.	0.00
Region 4		
Bear Spring Revenue Account	National Bank of Delaware	0.00
Region 4	Greene County Commercial Bank	0.00
Region 4 Camping	NBT Bank	0.00
Region 5		
Campsite Revenue Account	Glens Falls National	3,792.64
Land & Forest Region 5W	TD Bank	14,279.93

NYS Conservation	Glens Falls National	1.00
Recreation (Warrensburg)	City National Bank & Trust	2,188.91
Region 5	Citizens Bank	38.03
Region 5	NBT Bank	18,191.05
Tree Nursery	Bank of America, N.A.	100,061.20
Region 6		
Fish & Wildlife Watertown	Key Bank	121.92
Lands & Forest District #7	Community Bank	175.00
Lands & Forests District #6	Community Bank	48.72
Lands And Forests District 10	M&T Bank	21.20
SNY Dept Of Environmental Conserv	Community Bank	14.04
10000 - ATTICA CORRECTIONAL FACILITY		
Agency Advance Account	Five Star Bank	1,783.61
CD Spendable	Five Star Bank	220,000.00
Employee Benefit Fund	Five Star Bank	8,396.60
General Cash Fund	Five Star Bank	11,387.93
Inmate Occupational Therapy Fund	Five Star Bank	66,461.90
Inmate Savings Account	Five Star Bank	254,540.62
Spendable Fund	Five Star Bank	244,604.42
10010 - AUBURN CORRECTIONAL FACILITY		
Advance Account	Key Bank	4,060.40
Certificate of Deposit	Bank of America, N.A.	15,000.00
Certificate of Deposit	Bank of America, N.A.	90,000.00
Inmate Occupational Therapy Fund	Key Bank	25,928.85
Inmate Spendable Account	Key Bank	218,221.49
Inmate Spendable Savings CD	Key Bank	252,577.04
Misc Revenue	Key Bank	44,169.44
10020 - CLINTON CORRECTIONAL FACILITY		
Advance Account	Key Bank	12,962.11
Employee Benefit Fund	Key Bank	13,122.31
General Fund	Key Bank	721.31
Inmate Funds	Key Bank	223,656.63
Inmate Funds Money Market Account	Key Bank	684,210.37
Inmate Occupational Therapy Acct	Key Bank	57,551.79
10030 - WATERTOWN CORRECTIONAL FACILITY		
Agency Advance Account	Key Bank	2,255.30
Inmate Occupational Therapy Fund	Key Bank	17,125.91
Inmate Spendable Funds	Key Bank	51,284.47
Inmate Spendable Savings Account	Key Bank	60,664.95
Miscellaneous Receipts	Key Bank	16,520.48
10040 - GREAT MEADOW CORRECTIONAL FACILITY		
Certificate of Deposit	Glens Falls National	No report received
Certificate of Deposit	Glens Falls National	No report received
Certificate of Deposit	Glens Falls National	No report received
Facility Advance	Key Bank	No report received
General Fund	Key Bank	No report received
Inmate Fund	Key Bank	No report received
Inmate Fund Savings Account	Glens Falls National	No report received
Miscellaneous Account	Key Bank	No report received
Occupational Therapy	Key Bank	No report received
10050 - FISHKILL CORRECTIONAL FACILITY		
Agency Advance	M&T Bank	3,739.87
Employee Benefits	M&T Bank	8,300.83
Inmate Spending Account	M&T Bank	657,748.35
Inmates Account	M&T Bank	462,875.21
Inmates Benefit	M&T Bank	28,398.10
Misc Receipts	M&T Bank	5,619.17
Occupational Therapy Account	M&T Bank	17,467.52
10060 - WALLKILL CORRECTIONAL FACILITY		
Advance Account	Key Bank	1,450.00
Employee Benefit	Key Bank	1,570.39
Inmate Occupational Therapy Fund	Key Bank	44,064.28
Inmate Savings Account	Key Bank	88,163.83
Inmates Fund Account	Key Bank	118,484.48
Misc. Receipts	Key Bank	13,963.87
10070 - SING SING CORRECTIONAL FACILITY		
Cash Advance	JPMorgan Chase Bank, N.A.	No report received
Inmate Funds	JPMorgan Chase Bank, N.A.	No report received
Inmate Interest Funds	JPMorgan Chase Bank, N.A.	No report received
Misc Receipts	JPMorgan Chase Bank, N.A.	No report received
Occupational Therapy	JPMorgan Chase Bank, N.A.	No report received
Quality Work Life	JPMorgan Chase Bank, N.A.	No report received
10080 - GREEN HAVEN CORRECTIONAL FACILITY		
Advance Account	Key Bank	2,247.01

General Fund	Key Bank	15,292.54
Inmates Money Market	Key Bank	287,781.70
Inmates Now Checking	Key Bank	522,995.10
Occupational Therapy Fund	Key Bank	116,291.79
10090 - ALBION CORRECTIONAL FACILITY		
Albion Advance Account	Bank of America, N.A.	4,916.00
Employee Benefit Fund	Bank of America, N.A.	10,171.97
Inmate Funds	Bank of America, N.A.	130,471.08
Inmate Funds Savings	Bank of America, N.A.	154,072.28
Misc Receipts	Bank of America, N.A.	8,643.14
Occupational Therapy	Bank of America, N.A.	34,575.88
10100 - EASTERN NEW YORK CORRECTIONAL FACILITY		
Agency Advance Account	Sterling Bank	No report received
Employee Benefit Fund	Sterling Bank	No report received
ID Now 3 Month CD	M&T Bank	No report received
Inmate Deposit Now Account	Sterling Bank	No report received
Inmate Occupational Therapy Account	Sterling Bank	No report received
Misc. Receipts	Sterling Bank	No report received
10110 - ELMIRA CORRECTIONAL & RECEPTION CENTER		
Agency Advance Account	Chemung Canal Trust	No report received
Employee Benefit Fund	Chemung Canal Trust	No report received
Inmate CD Account	M&T Bank	No report received
Inmates Fund	Chemung Canal Trust	No report received
Miscellaneous Receipts	Chemung Canal Trust	No report received
Occupational Therapy Fund	Chemung Canal Trust	No report received
10120 - BEDFORD HILLS CORRECTIONAL FACILITY		
Advance Account	JPMorgan Chase Bank, N.A.	4,796.47
Employee Benefit Fund	JPMorgan Chase Bank, N.A.	8,785.17
Inmate Funds	JPMorgan Chase Bank, N.A.	79,643.64
Inmate Funds CD	JPMorgan Chase Bank, N.A.	90,000.00
Inmate Funds Money Market	JPMorgan Chase Bank, N.A.	22,797.89
Misc. Receipts	JPMorgan Chase Bank, N.A.	55.84
Occupational Therapy	JPMorgan Chase Bank, N.A.	61,537.04
10130 - COXSACKIE CORRECTIONAL FACILITY		
Agency Advance Account	National Bank of Coxsackie	2,484.93
Employee Benefits Fund	National Bank of Coxsackie	11,148.25
Inmates Fund	National Bank of Coxsackie	90,194.85
Inmates Fund Savings Acct	National Bank of Coxsackie	23,679.97
Misc. Revenue	National Bank of Coxsackie	1,055.32
Money Market Acct	National Bank of Coxsackie	160,884.11
Occupational Therapy Acct	National Bank of Coxsackie	51,304.60
10140 - WOODBOURNE CORRECTIONAL FACILITY		
CD - Inmate Funds	First National Bank of Jeffersonville	No report received
CD - Inmate Funds	First National Bank of Jeffersonville	No report received
WCF Agency Advance	Jeff Bank	No report received
WCF General Fund	Jeff Bank	No report received
WCF Inmate Fund	Jeff Bank	No report received
WCF Occupational Therapy Fund	Jeff Bank	No report received
10160 - DEPARTMENT OF CORRECTIONS AND COMMUNITY SUPERVISION		
Agency Advance Account	Key Bank	No report received
Employee Benefit Fund	Key Bank	No report received
Inmate Escrow Account	Key Bank	No report received
Misc. Receipts Account	Key Bank	No report received
Special Account	Key Bank	No report received
10170 - QUEENSBORO CORRECTIONAL FACILITY		
Agency Advance Account	JPMorgan Chase Bank, N.A.	2,511.74
Employee Benefit Fund	JPMorgan Chase Bank, N.A.	8,304.83
Inmate Funds Account	JPMorgan Chase Bank, N.A.	392,278.12
Miscellaneous Receipts Account	JPMorgan Chase Bank, N.A.	835.99
Occupational Therapy Fund	JPMorgan Chase Bank, N.A.	2,270.05
Savings Account	JPMorgan Chase Bank, N.A.	15,635.25
10230 - ADIRONDACK CORRECTIONAL FACILITY		
ADK QWL	Community Bank	8,471.95
Agency Advance	Community Bank	790.00
Diversity Management	Community Bank	493.07
Employee Benefit Fund	Community Bank	2,040.06
General Fund	Community Bank	308.75
Inmate Funds	Community Bank	1,693.93
Inmate Occupational Therapy Fund	Community Bank	7,523.79
Inmate Savings Money Market	Community Bank	0.00
Make A Difference Day	Community Bank	0.00
10240 - DOWNSTATE CORRECTIONAL FACILITY		
Agency Advance	JPMorgan Chase Bank, N.A.	1,404.23
Employee Recreational Funds	JPMorgan Chase Bank, N.A.	15,930.21

Inmate Fund	JPMorgan Chase Bank, N.A.	529,416.18
Inmates Funds Savings	JPMorgan Chase Bank, N.A.	80,430.92
Misc. Receipts	JPMorgan Chase Bank, N.A.	32,176.62
Occupational Therapy	JPMorgan Chase Bank, N.A.	90,449.14
10250 - TACONIC CORRECTIONAL FACILITY		
Employee Benefit Fund	JPMorgan Chase Bank, N.A.	3,175.10
Inmate Funds	JPMorgan Chase Bank, N.A.	83,371.57
Misc. Revenue	JPMorgan Chase Bank, N.A.	1,355.33
Money Market	JPMorgan Chase Bank, N.A.	30,975.82
Occupational Therapy Fund	JPMorgan Chase Bank, N.A.	16,018.97
Taconic Advance Account	JPMorgan Chase Bank, N.A.	3,143.90
10270 - HUDSON CORRECTIONAL FACILITY		
Advance Account	Key Bank	2,149.35
Employee Benefit Fund Account	Key Bank	5,015.17
Inmate Funds Account	Key Bank	114,301.97
Inmate Key Advantage Account	Key Bank	50,351.48
Inmate Occupational Therapy Account	Key Bank	9,344.07
Miscellaneous Receipts Account	Key Bank	4,078.62
10290 - OTISVILLE CORRECTIONAL FACILITY		
Cash Advance	Jeff Bank	No report received
General Fund	Jeff Bank	No report received
Inmate Funds	Jeff Bank	No report received
Inmate Occupational Therapy	Jeff Bank	No report received
Inmate Savings	Jeff Bank	No report received
Inmate Savings CD	Hometown Bank	No report received
10300 - ROCHESTER CORRECTIONAL FACILITY		
Consolidated Advance Account	M&T Bank	1,651.00
Employee Recreation Fund	M&T Bank	1,031.19
Inmate Deposit Account	M&T Bank	128,194.83
Inmate Occupational Therapy	M&T Bank	35.98
Misc Fees	M&T Bank	1,792.76
Work Release Advance Account	M&T Bank	8,740.00
10320 - EDGEcombe CORRECTIONAL FACILITY		
Agency Advance	JPMorgan Chase Bank, N.A.	526.30
Employee Benefit Account	JPMorgan Chase Bank, N.A.	2,457.06
Inmate Cash Account	JPMorgan Chase Bank, N.A.	56,411.63
Misc. Receipts Account	JPMorgan Chase Bank, N.A.	0.00
Occupational Therapy Acct	JPMorgan Chase Bank, N.A.	2,326.44
Work Release Account	JPMorgan Chase Bank, N.A.	0.00
10350 - OGDENSBURG CORRECTIONAL FACILITY		
Agency Advance Account	Community Bank	2,818.68
EBF	Community Bank	6,084.33
Inmate Fund	Community Bank	77,631.58
Inmate Savings	Community Bank	45,230.69
Misc. Receipts	Community Bank	167.00
Occupational Therapy	Community Bank	18,779.96
10370 - FIVE POINTS CORRECTIONAL FACILITY		
Consolidated Advance	Five Star Bank	1,042.47
EBF Checking	Five Star Bank	35,068.59
EBF Savings	Five Star Bank	31,759.16
Inmate Savings	Five Star Bank	257,905.42
Inmate Spendable	Five Star Bank	190,542.31
Misc Receipts	Five Star Bank	1,011.09
Occupational Therapy	Five Star Bank	29,608.02
10390 - MOHAWK CORRECTIONAL FACILITY		
Agency Advance	Key Bank	2,719.99
Employee Benefit Fund Checking	Bank of America, N.A.	25,954.39
Inmate Funds Checking	Key Bank	450,902.71
Inmate Funds Savings	Key Bank	314,437.71
Miscellaneous Revenue	Key Bank	232.50
Occupational Therapy	Key Bank	26,865.65
10430 - WENDE CORRECTIONAL FACILITY		
Consolidated Advance	Alden State Bank	3,790.00
Employee Benefit Account	Alden State Bank	20,874.05
Inmate Savings	Alden State Bank	196,879.01
Inmates Funds	Alden State Bank	173,516.46
Misc. Receipts	Alden State Bank	8,589.92
Occupational Therapy	Alden State Bank	55,587.96
10441 - DEPARTMENT OF CORRECTIONAL SERVICES-FOOD PRODUCTION CENTER		
Office of Nutritional Services		
Miscellaneous Receipts	Key Bank	11,796.70
10450 - GOWANDA CORRECTIONAL FACILITY		
Advance Account	Community Bank	796.78
Employee Benefit Fund	Community Bank	12,257.21

Inmate Funds	Community Bank	132,818.78
Inmate Funds Savings	Community Bank	259,748.28
Miscellaneous Revenue	Community Bank	10,056.91
Occupational Therapy	Community Bank	22,395.50
10460 - GROVELAND CORRECTIONAL FACILITY		
Agency Advance Account	Five Star Bank	768.39
Employee Commission Account	Five Star Bank	13,865.62
Inmate Funds Account	Five Star Bank	109,123.73
Inmate Funds Account - Savings	Five Star Bank	108,043.68
Miscellaneous Receipts Account	Five Star Bank	1,896.82
Occupational Therapy Account	Five Star Bank	22,534.02
10470 - COLLINS CORRECTIONAL FACILITY		
Agency Advance	Community Bank	2,206.70
Employee Activities	Community Bank	45,566.52
Inmate Fund Checking	Community Bank	199,227.41
Inmate Savings	Community Bank	130,539.07
Miscellaneous Revenue	Community Bank	10,293.78
Occupational Therapy	Community Bank	15,939.48
10480 - MID-STATE CORRECTIONAL FACILITY		
Agency Advance	Key Bank	467.05
Employee Benefit Fund	Bank of America, N.A.	31,941.51
Inmate Funds	Key Bank	225,374.77
Inmate Savings	Key Bank	198,724.34
Misc. Revenue	Key Bank	1,089.77
Occupational Therapy	Key Bank	49,576.30
10490 - MARCY CORRECTIONAL FACILITY		
Agency Advance Account	Key Bank	3,698.55
Employee Benefit Fund Account	Bank of America, N.A.	7,940.50
Inmate Fund Account	Key Bank	150,734.19
Misc receipts Acct	Key Bank	226.00
NYS DOCS Marcy CORR Facility	Key Bank	206,787.41
Occupational Therapy fund Acct	Key Bank	45,542.92
10500 - NYC CENTRAL ADMINISTRATION		
Agency Advance Acct	JPMorgan Chase Bank, N.A.	5,700.00
Misc Receipts	JPMorgan Chase Bank, N.A.	509.17
10501 - CENTRAL PHARMACY		
NYS Docs Central Pharmacy Advance Acct	Bank of America, N.A.	1,000.00
10510 - MORIAH SHOCK INCARCERATION CORRECTIONAL FACILITY		
Moriah Shock Incarceration Advance Acct	Glens Falls National	1,800.00
Moriah Shock Incarceration Employee Benefit Fund	Glens Falls National	2,320.24
Moriah Shock Incarceration Occ Therapy	Glens Falls National	2,807.64
Moriah Shock Misc Receipts	Glens Falls National	0.00
NYS Moriah Shock Incarceration Inmate Checking	Glens Falls National	59,008.74
10530 - FRANKLIN CORRECTIONAL FACILITY		
Advance Account	Key Bank	No report received
Employee Benefit Account	Key Bank	No report received
Inmate Funds	Key Bank	No report received
Inmate Occupational Therapy	Key Bank	No report received
Inmate Savings	Key Bank	No report received
Misc. Receipts	Key Bank	No report received
10540 - ALTONA CORRECTIONAL FACILITY		
Cons Adv Travel Petty Cash	NBT Bank	No report received
Employees Vending Benefit	NBT Bank	No report received
Inmates Funds	NBT Bank	No report received
Misc Revenues General Fund	NBT Bank	No report received
Occupational Therapy	NBT Bank	No report received
10550 - CAYUGA CORRECTIONAL FACILITY		
Agency Advance	First National Bank of Groton	1,484.98
Cert Of Deposit	First National Bank of Groton	87,164.07
Employee Benefit Fund	First National Bank of Groton	5,123.17
Inmate Occupational Therapy Account	First National Bank of Groton	34,250.80
Inmate Spendable	First National Bank of Groton	246,228.84
Misc Receipts	First National Bank of Groton	3,061.41
10560 - BARE HILL CORRECTIONAL FACILITY		
Agency Advance	Key Bank	1,881.78
Employee Benefit Fund	Key Bank	8,287.13
Inmate Spendable Funds	Key Bank	94,220.15
Key Public Money Market Checking	Key Bank	268,945.08
Miscellaneous Receipts	Key Bank	2,362.84
Occupational Therapy	Key Bank	19,758.24
10570 - RIVERVIEW CORRECTIONAL FACILITY		
Agency Advance Account	Key Bank	1,352.14
Inmate Accounts	Key Bank	76,701.10
Inmate Savings Account	Key Bank	105,630.40

Miscellaneous Receipts Account	Key Bank	7,910.97
Occupational Therapy	Key Bank	21,579.59
10580 - CAPE VINCENT CORRECTIONAL FACILITY		
Advance Account	Community Bank	1,929.78
Employee Benefit Fund	Community Bank	39,755.95
Inmate Occupation Therapy Acct	Community Bank	36,068.49
Inmate Savings	Community Bank	151,718.06
Inmate Spendable Account	Community Bank	119,117.04
Miscellaneous Receipts Account	Community Bank	3,111.55
10600 - LAKEVIEW SHOCK INCARCERATION CORRECTIONAL FACILITY		
Agency Advance	Community Bank	2,496.48
Employee Benefit Fund	Community Bank	10,876.52
Inmate Funds	Community Bank	86,529.20
Inmate Funds - Sav	Community Bank	94,656.52
Miscellaneous Revenue	Community Bank	2,253.03
Occupational Therapy	Community Bank	1,492.97
10610 - ULSTER CORRECTIONAL FACILITY		
Agency Advance	Bank of America, N.A.	No report received
Agency Advance	M&T Bank	No report received
Employee Benefit Fund	Bank of America, N.A.	No report received
Employee Benefit Fund	M&T Bank	No report received
Inmate Fund	Bank of America, N.A.	No report received
Inmate Fund	M&T Bank	No report received
Inmate Funds Savings	Bank of America, N.A.	No report received
Inmate Funds Savings	M&T Bank	No report received
Misc Receipts	M&T Bank	No report received
Misc. Receipts	Bank of America, N.A.	No report received
Occupational Therapy	Bank of America, N.A.	No report received
Occupational Therapy	M&T Bank	No report received
10630 - SOUTHPORT CORRECTIONAL FACILITY		
Advance Account	Chemung Canal Trust	388.29
Employee Benefit Fund	Chemung Canal Trust	15,451.96
Inmate Funds	Chemung Canal Trust	81,725.48
Inmate Funds Account	Chemung Canal Trust	72,455.95
Misc. Receipts Account	Chemung Canal Trust	384.90
Occupational Therapy Account	Chemung Canal Trust	25,443.76
10640 - ORLEANS CORRECTIONAL FACILITY		
Agency Advance	Bank of America, N.A.	2,068.62
Employee Benefit Fund	Bank of America, N.A.	10,208.57
Inmate Funds	Bank of America, N.A.	94,380.46
Inmate Savings	Bank of America, N.A.	108,091.04
Miscellaneous Receipts	Bank of America, N.A.	15,177.13
Occupational Therapy	Bank of America, N.A.	26,092.38
10650 - WASHINGTON CORRECTIONAL FACILITY		
Advance Account	Key Bank	No report received
General Account	Key Bank	No report received
Inmate Account	Key Bank	No report received
Inmate Funds Account Certificate Of Deposit	Glens Falls National	No report received
Inmate Savings Account	Key Bank	No report received
Occupational Therapy Account	Key Bank	No report received
10660 - WYOMING CORRECTIONAL FACILITY		
Agency Advance	Five Star Bank	6,147.36
Employee Benefit Fund	Five Star Bank	10,769.20
Inmate Occupational Therapy	Five Star Bank	47,390.61
Inmate Savings - Certificate of Deposit	Five Star Bank	25,000.00
Inmate Savings - Certificate of Deposit	Five Star Bank	25,000.00
Inmate Savings Account	Five Star Bank	51,773.35
Inmate Savings-Certificate of Deposit	Five Star Bank	25,000.00
Inmate Spendable	Five Star Bank	216,104.58
Misc. Receipts Account	Five Star Bank	7,398.13
10670 - GREENE CORRECTIONAL FACILITY		
Consolidated Advance	National Bank of Coxsackie	1,997.75
Inmate Accounts	National Bank of Coxsackie	141,190.39
Inmate Savings	National Bank of Coxsackie	248,685.82
Misc. Receipts	National Bank of Coxsackie	881.54
Occupational Therapy	National Bank of Coxsackie	67,473.82
10680 - SHAWANGUNK CORRECTIONAL FACILITY		
Consolidated Advance Account	Key Bank	1,300.00
Inmate Funds	Key Bank	150,366.60
Inmates Funds Account	Key Bank	43,215.81
Misc. Receipts Account	Key Bank	3,583.28
Occupational Therapy Acct	Key Bank	27,841.70
10690 - SULLIVAN CORRECTIONAL FACILITY		
Consolidated Advance	Key Bank	2,190.69

Inmate Checking	Key Bank	105,958.00
Inmate Savings	Key Bank	100,486.47
Miscellaneous	Key Bank	6,896.13
Occupational Therapy	Key Bank	27,582.36
10810 - GOUVERNEUR CORRECTIONAL FACILITY		
Agency Advance	Community Bank	1,334.76
Inmate Occupational Therapy	Community Bank	26,181.70
Inmate Savings	Community Bank	194,974.09
Inmate Spendable Fund	Community Bank	126,065.67
Misc Receipts	Community Bank	11,705.93
10820 - WILLARD DRUG TREATMENT CENTER		
Consolidated Advance	Community Bank	960.51
Employee Benefit Fund	Community Bank	10,988.10
Inmate Funds	Community Bank	78,216.32
Inmate Occupational Therapy	Community Bank	11,786.33
Misc Receipts	Community Bank	192.00
10840 - UPSTATE CORRECTIONAL FACILITY-AUDIT 1		
Advance Account	Key Bank	1,885.33
Facility Committees	Key Bank	19,081.54
Inmate Fund	Key Bank	82,656.33
Inmate Fund Savings	Key Bank	0.00
Inmate Occupational Therapy Fund	Key Bank	4,578.16
Miscellaneous Account	Key Bank	328.25
10850 - HALE CREEK ASACTC		
Consolidated Advance	Key Bank	658.79
Employee Benefit Fund	Bank of America, N.A.	8,922.90
Inmate Funds	Key Bank	67,228.52
Inmate Interest Bearing Account	Key Bank	15,003.69
Misc Receipts	Key Bank	332.75
Occupational Therapy	Key Bank	30,225.48
10890 - CORRECTIONS AND COMMUNITY SUPERVISION		
Asset Forfeiture Special Rev Acct	Bank of America, N.A.	307,462.76
Parole Supervision Fee	Wells Fargo Bank	38,343.02
10916 - CENTRAL OFFICE - INDUSTRIES		
Div of Ind Petty Cash Acct	Key Bank	5,763.00
Div of Ind Revenue Acct	Key Bank	188,798.12
11000 - EDUCATION DEPARTMENT		
Consolidated Advance Account	Key Bank	No report received
Consolidated Advance Account (Control Disbursement)	Key Bank	No report received
Revenue Account	Key Bank	No report received
11100 - NYS HIGHER EDUCATION SERVICES CORPORATION		
NYS HESC-Federal Student Loan Suspense	Key Bank	1,891,034.28
Operating	Key Bank	3,905,285.34
Retail Lockbox	US Bank	165,687.24
TAP	Key Bank	20,382.51
Wholesale Lockbox	US Bank	1,812,794.54
11260 - BATAVIA SCHOOL FOR THE BLIND		
Misc. Receipts	M&T Bank	594.43
Petty Cash	M&T Bank	3,730.07
Student Spending Account	Bank of America, N.A.	10,855.25
11270 - ROME SCHOOL FOR THE DEAF		
Miscellaneous Receipts	NBT Bank	16,762.92
Petty Cash	NBT Bank	2,070.00
Student Activity Fund	NBT Bank	14,987.89
11280 - ARCHIVES PARTNERSHIP TRUST		
Endowment	Janney Montgomery Scott LLC	4,512,745.73
Endowment - Special Account	Janney Montgomery Scott LLC	No report received
Trust's Board Project Account	Key Bank	266,703.21
12000 - DEPARTMENT OF HEALTH CENTRAL ADMINISTRATION		
Conf Narcotic Investigation	M&T Bank	4,794.01
Consolidated Advance Acct	M&T Bank	10,651.99
CSA Rebate Account	Bank of America, N.A.	0.00
DOH EPIC Lockbox Acct	Wells Fargo Bank	8,576.32
Early Intervention - Municipal Deposits for Provider Pymts	Key Bank	0.00
Early Intervention - Provider Payments Escrow	Key Bank	101,927.45
Early Intervention - State Funds	Key Bank	11,184,382.23
EPIC Co Pay Account	Bank of America, N.A.	0.00
Epic Drug Manufacturer Rebate Account	Bank of America, N.A.	111,649.27
EPIC EFT Acct	Bank of America, N.A.	0.00
EPIC Master Funding Acct	Bank of America, N.A.	802,558.27
EPIC Provider Receipt Account	Bank of America, N.A.	0.00
EPIC Refund Acct	Bank of America, N.A.	0.00
eWIC	Wells Fargo Bank	8,964.02
General Account	M&T Bank	492,029.62

ICR Audit Fees Account	Bank of America, N.A.	10,996.08
Indian Health Disbursement Account	Bank of America, N.A.	0.00
Indian Health-Master Acct	Bank of America, N.A.	14,466.11
Medicaid	Key Bank	12,234.66
Medicaid Audit Recoveries Acct	Key Bank	0.00
Medicaid Insurance Recoveries Acct	Bank of America, N.A.	662,285.34
Nurses Aide Fees (Prometric)	Bank of America, N.A.	68,173.04
Nursing Home Fees Account	Bank of America, N.A.	50,078.13
NYS DOH CLEP Revenue	Key Bank	1,402.74
OBRA Drug Rebate Program Acct	Bank of America, N.A.	6,009,550.25
SPARCS	Key Bank	27,071.08
12010 - ROSWELL PARK MEMORIAL INSTITUTE		
Office Of Patient Accounts	M&T Bank	4,672,457.81
12030 - HELEN HAYES HOSPITAL		
Misc. Receipts	JPMorgan Chase Bank, N.A.	2,740,171.17
Petty Cash Account	JPMorgan Chase Bank, N.A.	13,227.78
Rental Deposit Acct	JPMorgan Chase Bank, N.A.	6,393.94
12120 - NYS VETERANS HOME-OXFORD		
Agency Advance	NBT Bank	7,265.97
Exchange Account	NBT Bank	30,925.23
Maintenance Fund	NBT Bank	158,487.87
NYS Veterans Home-Oxford (Resident Account, Custodial Account)	NBT Bank	235,270.17
Resident Custodial Account	NBT Bank	353.44
Resident Custodial Account	NBT Bank	1,610.17
Resident Custodial Account	NBT Bank	2,980.99
Resident Custodial Account	NBT Bank	119.78
Resident Custodial Account	NBT Bank	10,219.24
Resident Custodial Account	NBT Bank	6,611.28
Resident Custodial Account	NBT Bank	2,246.84
Resident Custodial Account	NBT Bank	5,070.99
Resident Custodial Account	NBT Bank	3,028.41
Resident Custodial Account	NBT Bank	7,739.89
Resident Custodial Account	NBT Bank	8,326.53
12150 - NYS VETERANS HOME-ST ALBANS		
NYC Veteran Home Agency Advance	JPMorgan Chase Bank, N.A.	16,736.29
St Albans NYC Vet Home Resid Funds	JPMorgan Chase Bank, N.A.	852,193.48
St Albans Vet Home Maintenance Acct	NBT Bank	293,136.23
12180 - WESTERN NEW YORK VETERANS HOME		
Advance Account	Bank of America, N.A.	3,689.06
Exchange Account	Bank of America, N.A.	17,484.91
Maintenance Account	NBT Bank	205,155.63
Resident Funds	Bank of America, N.A.	62,718.44
12190 - VETERANS HOME AT MONTROSE		
Agency Advance Account	Bank of America, N.A.	9,641.26
Maintenance Acct	NBT Bank	250,567.14
Residence Account	Bank of America, N.A.	686,689.98
12200 - OFFICE OF MEDICAID INSPECTOR GENERAL		
Albany Confidential Account	Key Bank	254.59
Albany Petty Cash Account	Key Bank	467.00
NYC Confidential Account	JPMorgan Chase Bank, N.A.	166.00
14000 - DEPARTMENT OF LABOR		
Agency Advance Account	Key Bank	27,925.00
Exchange Account	Bank of America, N.A.	109,791.56
Fee And Permit Account	Key Bank	863,956.03
Min Wage & Claim Funding Acct	Key Bank	276,665.35
Minimum Wage & Wage Claim Acct	Key Bank	1,456,611.19
Misc Receipts	Bank of America, N.A.	308,307.47
U.I. Fund Clearing Account	JPMorgan Chase Bank, N.A.	3,309,557.18
UI Fund ACH Transactions	Wells Fargo Bank	100,000.00
14010 - WORKERS COMPENSATION BOARD		
DTF/WCB MAC 14	JPMorgan Chase Bank, N.A.	174,028,637.11
16000 - PUBLIC SERVICE COMMISSION		
Cable Account	Key Bank	6,340.24
Petty Cash Account	Key Bank	3,735.00
Special Fee Account	Key Bank	11,359.94
17000 - NYS DEPARTMENT OF TRANSPORTATION		
Contractors Bid And Guarantee	Key Bank	No report received
Driver Improvement Program (DIP)	Key Bank	No report received
Main Office Advance For Travel	Key Bank	No report received
PARTNERS DOT -HOOCs	Key Bank	No report received
Revenue Unit	Key Bank	No report received
Republic Airport, Long Island		
Republic Airport Revenue Acct	JPMorgan Chase Bank, N.A.	No report received
19000 - DEPARTMENT OF STATE		

Athletic	M&T Bank	12,210.80
Licensing Revenue Account	JPMorgan Chase Bank, N.A.	728,333.09
Main	M&T Bank	173,057.53
Petty Cash Account	Key Bank	16,567.88
Summons	M&T Bank	866,865.55
19001 - TUG HILL COMMISSION		
Agency Advance Account	Key Bank	No report received
19002 - LAKE GEORGE PARK COMMISSION		
Petty Cash Account	Glens Falls National	No report received
Revenue Transfer Account	Glens Falls National	No report received
19005 - COMMISSION ON PUBLIC INTEGRITY		
JCOPE Petty Cash Account	Bank of America, N.A.	507.75
JCOPE Revenue Account	Bank of America, N.A.	47,515.07
20000 - DEPARTMENT OF TAXATION & FINANCE		
IFTA Funding	JPMorgan Chase Bank, N.A.	61,335.56
Misc Tax Account - Exchange	Bank of America, N.A.	212,558.40
Petty Cash	Bank of America, N.A.	11,950.19
Tax Preparer Registration Fee (EFT)	Wells Fargo Bank	52,700.00
Waste Tire Fee (EFT)	Wells Fargo Bank	31,488.68
Waste Tire Tax	JPMorgan Chase Bank, N.A.	27,782.97
20020 - DEPARTMENT OF TAXATION & FINANCE		
Commercial Gaming Revenue Account	Key Bank	No report received
Commercial Gaming Revenue Account	Key Bank	No report received
20050 - NEW YORK STATE GAMING COMMISSION		
Charitable Gaming Account	Key Bank	211,782.48
Commercial Gaming Revenue Account	Key Bank	0.00
Custody Account	US Bank	12,668.20
Fingerprint Concentration Account	Key Bank	15,048.06
License Revenue Account	Bank of America, N.A.	44,728.56
Lottery Concentration Account	Key Bank	3,057.86
Lottery Prize Payment Account	Key Bank	(0.50)
Lottery Subscriptions Account	Key Bank	704,853.90
Petty Cash Account	Key Bank	802.51
Racing Refund Account	Key Bank	695,846.55
Video Gaming Revenue Account	Key Bank	12,586,588.16
21012 - WELFARE INSPECTOR GENERAL		
Confidential Fund	Bank of America, N.A.	15,000.00
Confidential Fund	JPMorgan Chase Bank, N.A.	No report received
Petty Cash	JPMorgan Chase Bank, N.A.	No report received
21110 - OFFICE OF REGULATORY REFORM		
Petty Cash	Key Bank	No report received
21290 - HUDSON RIVER-BLACK RIVER REGULATING DISTRICT		
Checking- General Fund Acct.	Community Bank	12,285.23
Checking- Petty Cash Fund	Community Bank	5,000.00
Hudson River General Acct	Bank of America, N.A.	508,313.09
Money Market	Bank of America, N.A.	0.00
Petty Cash Fund	Bank of America, N.A.	6,500.00
21700 - OFFICE OF THE STATE INSPECTOR GENERAL		
Office Of The State Inspector General Pass Thru Account	Key Bank	56,204.23
OSIG Petty Cash Account	Key Bank	1,557.88
Albany		
Office of the Inspector General Confidential	Bank of America, N.A.	27,000.00
21820 - STATE COMMISSION ON JUDICIAL CONDUCT		
Petty Cash Account	JPMorgan Chase Bank, N.A.	460.29
Petty Cash Account	Key Bank	769.96
Petty Cash Fund	JPMorgan Chase Bank, N.A.	528.39
21940 - NYS FINANCIAL CONTROL BOARD		
Agency Advance Acct	JPMorgan Chase Bank, N.A.	No report received
23000 - DEPARTMENT OF MOTOR VEHICLES		
Albany Central Main Acct		
Albany Central Main Acct	Wells Fargo Bank	No report received
Albany Central Main Exchange		
Exchange	Wells Fargo Bank	No report received
Albany Central Office		
Title Escrow Exchange (Albany Central Office)	Wells Fargo Bank	No report received
Albany TVB Sub (Albany Central Office)		
Adjudication Account	Wells Fargo Bank	No report received
Administrative Adj	M&T Bank	No report received
Albany-Region 3		
Confidential Inv Subpoena - Albany	Key Bank	No report received
Allegany-Belmont		
County Clerk Fee Allegany	Steuben Trust Co.	No report received
Andirondack Mountains		
County Fee Account	JPMorgan Chase Bank, N.A.	No report received

Buffalo-Region 5		
MV- Buffalo Investigator & Subpoena	M&T Bank	No report received
Capital Saratoga Revenue		
County Fee Account	JPMorgan Chase Bank, N.A.	No report received
Catskill Mountains		
County Fee Account	JPMorgan Chase Bank, N.A.	No report received
Central Leatherstocking		
County Fee Account	JPMorgan Chase Bank, N.A.	No report received
Chautauqua-Steuben		
County Fee Acct	JPMorgan Chase Bank, N.A.	No report received
Chautauqua County		
Holding Acct-Chautauqua County	Community Bank	138,854.58
Holding Acct-Chautauqua County	Key Bank	88,106.05
Holding Acct-Chautauqua County	M&T Bank	401,388.10
Concentration (CTY)(OSC)		
Concentration (CTY)(OSC)	Key Bank	No report received
Concentration (DO)(OSC)		
Concentration (DO)(OSC)	Key Bank	No report received
Confidential Fund (Albany Central Office)		
Confidential Fund	Bank of America, N.A.	No report received
CTY Credit Card (Albany Central Office)		
County Office Credit Card Account	JPMorgan Chase Bank, N.A.	No report received
Customer Service Counter (Albany)		
NYS DMV CSC	Wells Fargo Bank	No report received
D.O. Credit Card (Albany Central Office)		
District Office Credit Card Account	JPMorgan Chase Bank, N.A.	No report received
DMV Division Of Field Investigations - Albany Central Office		
Field Investigation	M&T Bank	No report received
Downstate		
Revenue Account - Downstate	Wells Fargo Bank	No report received
Eric County Revenue		
County Fee Account	JPMorgan Chase Bank, N.A.	No report received
Finger Lakes First		
County Fee Acct	JPMorgan Chase Bank, N.A.	No report received
Finger Lakes Second		
County Fee Acct	JPMorgan Chase Bank, N.A.	No report received
Genesee County		
Genesee County Clerk - DMV	Bank of Castile	No report received
Greene County		
Fee Account - Greene	Greene County Commercial Bank	No report received
Hudson Valley		
County Fee Acct	JPMorgan Chase Bank, N.A.	No report received
IRP (Albany Central Office)		
International Registration	M&T Bank	No report received
International Registration	Wells Fargo Bank	No report received
IRP Exchange (Albany Central Office)		
Irp Internet Office - Dept. MV	M&T Bank	No report received
Kiosk		
Kiosk Account	JPMorgan Chase Bank, N.A.	No report received
Long Island/Staten Island DO		
Long Island/Staten Island DO	Wells Fargo Bank	No report received
Long Island/Staten Island JP		
Long Island/Staten Island (Mass/Med)	JPMorgan Chase Bank, N.A.	No report received
Nassau Region 1		
Div. of Vehicle Safety	Citibank	No report received
Niagara Frontier		
County Fee Acct	JPMorgan Chase Bank, N.A.	No report received
Oneida County		
DMV Oneida County Fee Account	Bank of Utica	109,491.75
Oneida County Fee Account	NBT Bank	88,542.73
Petty Cash (Albany Central Office)		
Petty Cash	Bank of America, N.A.	No report received
Queens-Region 6		
Confidential - Queens	JPMorgan Chase Bank, N.A.	No report received
Rockland/Westchester DO		
Rockland/Westchester DO	Wells Fargo Bank	No report received
Search Exchange (Albany Central Office)		
MV Search	Key Bank	No report received
Search Exchange (Albany Central Office)		
MV Search	Wells Fargo Bank	No report received
Syracuse-Region 4		
Confidential - Syracuse	Key Bank	No report received
Thousand Island Seaway		
County Fee Acct	JPMorgan Chase Bank, N.A.	No report received

TLC/DOCCS		
TLC/DOCCS	JPMorgan Chase Bank, N.A.	No report received
Travel Advance (Albany Central Office)		
Travel Advance	Bank of America, N.A.	No report received
TVB Acct		
TVB Acct	Wells Fargo Bank	No report received
TVB Credit Card (Albany Central Office)		
TVB Credit Card Receipts	JPMorgan Chase Bank, N.A.	No report received
Upstate DO		
Upstate District Offices (ALB, SYD, SYS, UTD)	Wells Fargo Bank	No report received
Utica D.O.		
Exchange Account	Bank of Utica	No report received
Revenue Utica	Bank of Utica	No report received
Yonkers-Region 2		
Safety Sup Automotive FAC INSP	JPMorgan Chase Bank, N.A.	No report received
25000 - OFFICE OF CHILDREN & FAMILY SERVICES		
Brentwood Resid Center Cash Advance	JPMorgan Chase Bank, N.A.	950.00
Brentwood Residents' Account	JPMorgan Chase Bank, N.A.	510.55
Brookwood Cash Advance	Key Bank	1,722.58
Brookwood Resid Residential Cash	Key Bank	15,805.90
Check Exchange	Bank of America, N.A.	668.39
CO Independent Living Acct	Bank of America, N.A.	2,000.00
Co. Training Employment Dev (Youth Stipend)	Bank of America, N.A.	25,000.00
Columbia Girls Secure Center-Advance Acct	Key Bank	873.36
Columbia Girls Secure Center-Youth Savings	Key Bank	1,562.80
Finger Lakes Res Ctr Residents Cash	Tompkins County Trust	3,628.75
Fingerlakes Res Ctr Cash Advance	Tompkins County Trust	3,300.00
Goshen Cash Advance	Bank of America, N.A.	2,600.00
Goshen Residents Account	Bank of America, N.A.	8,516.95
Harriet Tubman Advance Account	Key Bank	500.00
Harriet Tubman Residents' Account	Key Bank	729.68
Highland Res Ctr Petty Cash Account	Bank of America, N.A.	2,638.11
Highland Res Ctr Residents Acct	Bank of America, N.A.	3,484.21
Home Office Care & Maintenance Account	Bank of America, N.A.	0.00
Industry Advance Account	JPMorgan Chase Bank, N.A.	2,329.00
Industry Res Account	JPMorgan Chase Bank, N.A.	4,689.18
Industry School Dug-Out	JPMorgan Chase Bank, N.A.	222.00
MacCormick Cash Advance	Tompkins County Trust	1,905.71
MacCormick Residents' Account	Tompkins County Trust	3,772.18
Medicaid Reimbursement Exchange	Bank of America, N.A.	67,473.90
NYS OCFS Advance Acct (Travel & Misc P.C.)	Bank of America, N.A.	15,464.00
NYS OCFS Salary Advance Account	Bank of America, N.A.	17,421.83
Queens-Long Island Aftercare	JPMorgan Chase Bank, N.A.	600.00
Red Hook Res Ctr Resident Cash	Key Bank	161.86
Red Hook Resid Ctr Cash Advance	Key Bank	300.00
SCR Credit Card Revenue Account	Bank of America, N.A.	38,200.00
State Central Register	Bank of America, N.A.	66,142.60
Taberg Cash Advance	NBT Bank	758.85
Taberg Residents Account	NBT Bank	762.94
Youth Leadership Academy	NBT Bank	735.53
Youth Leadership Cash Advance	NBT Bank	690.00
27000 - OFFICE OF TEMPORARY & DISABILITY ASSISTANCE		
Exchange Account	Key Bank	20.70
Title IV D Of Social Security	Key Bank	88,150.17
Travel Advance	Key Bank	9,118.24
28010 - SUNY ALBANY		
Fee Account	Key Bank	(948,823.09)
Loan Services Center Account	Key Bank	238,400.68
Petty Cash/Travel Advance	Key Bank	0.00
28020 - SUNY BINGHAMTON		
SUNY Binghamton	M&T Bank	552,232.30
SUNY Binghamton - Controlled Disb	M&T Bank	0.00
28030 - SUNY BUFFALO		
Controlled Disbursement Account	Bank of America, N.A.	0.00
General Revenue Account	Bank of America, N.A.	0.00
General Revenue Account	Key Bank	549,920.24
Imprest Account	Key Bank	0.00
28050 - SUNY STONY BROOK		
Central Funding	JPMorgan Chase Bank, N.A.	1,133,966.73
Controlled Disbursement	JPMorgan Chase Bank, N.A.	0.00
Fees Depository	JPMorgan Chase Bank, N.A.	4,002,153.46
LISVH Fees Depository	JPMorgan Chase Bank, N.A.	238,695.97
LISVH Fees Depository	Sterling Bank	1,058,324.55
LISVH Residence Fund	Sterling Bank	361,963.71

Payroll Advance	JPMorgan Chase Bank, N.A.	8,562.63
SBU Student Refunds Cont Disb Acct	JPMorgan Chase Bank, N.A.	0.00
Student ACH Refunds Account	JPMorgan Chase Bank, N.A.	0.00
SUNY Eastern Long Island Hospital Depository	JPMorgan Chase Bank, N.A.	2,361,252.59
SUNY Southampton Depository	JPMorgan Chase Bank, N.A.	3,759,258.60
University Hosp Fees Depository	JPMorgan Chase Bank, N.A.	4,119,881.23
University Hospital Petty Cash	JPMorgan Chase Bank, N.A.	1,909.35
28100 - SUNY HEALTH SCIENCE CENTER AT BROOKLYN		
Center Revenue	JPMorgan Chase Bank, N.A.	48,120.44
EFT Federal Deposits Acct	JPMorgan Chase Bank, N.A.	0.00
Hospital Controlled Disbursement	JPMorgan Chase Bank, N.A.	0.00
Hospital Revenue	JPMorgan Chase Bank, N.A.	514,569.44
LICH Controlled Disbursement	JPMorgan Chase Bank, N.A.	0.00
LICH Depository	JPMorgan Chase Bank, N.A.	146,231.69
Petty Cash	JPMorgan Chase Bank, N.A.	0.00
Student Refunds	JPMorgan Chase Bank, N.A.	0.00
28110 - SUNY HEALTH SCIENCE CENTER AT SYRACUSE		
College Revenue	Key Bank	168,438.42
Controlled Disbursement	Key Bank	30.00
Hospital Revenue	Key Bank	2,844,758.96
Parking	Key Bank	38,043.01
28150 - SUNY BROCKPORT		
Brockport-REOC Account	Key Bank	11,131.26
Concentration Acct	M&T Bank	189,296.21
Controlled Disb	M&T Bank	0.00
28160 - SUNY BUFFALO STATE COLLEGE		
Controlled Disb	M&T Bank	0.00
Dept Public Safety	M&T Bank	0.00
Special Grant Account	M&T Bank	1,578.65
Students Acct Office	M&T Bank	225,870.21
28170 - SUNY CORTLAND		
General Checking Account	Key Bank	457,058.52
28180 - SUNY FREDONIA		
Controlled Disb	M&T Bank	0.00
Depository Account	M&T Bank	84,858.67
28190 - SUNY GENESEO		
Controlled Disbursement Account	Key Bank	0.00
State Fees	Key Bank	1,735,055.39
28200 - SUNY OLD WESTBURY		
Local Depository	JPMorgan Chase Bank, N.A.	219,129.11
28210 - SUNY NEW PALTZ		
Disbursement Account	Key Bank	0.00
State Revenue	Key Bank	133,932.37
28220 - SUNY ONEONTA		
Petty Cash Advance Account	NBT Bank	0.00
Revenue Account	NBT Bank	2,220,832.52
28230 - SUNY OSWEGO		
Controlled Disbursement	Key Bank	0.00
General Revenue	Key Bank	501,014.91
Imprest Account	Key Bank	0.00
28240 - SUNY PLATTSBURGH		
General Revenue	TD Bank	2,654,030.37
28250 - SUNY POTSDAM		
Control Disbursement Account	Key Bank	0.00
State Fee Reconciliation Account	Key Bank	132,139.29
28260 - SUNY PURCHASE		
General Income Fund	Key Bank	409,100.69
28270 - SUNY INSTITUTE OF TECHNOLOGY UTICA/ROME		
Advance Account	Bank of America, N.A.	0.00
Controlled Disbursement Account	Bank of America, N.A.	0.00
Revenue	Bank of America, N.A.	74,899.32
28280 - SUNY EMPIRE STATE COLLEGE		
Concentration Account	Key Bank	186,804.84
Distribution Center Account	Key Bank	25,801.05
Zero Balance Controlled Disbursement Account	Key Bank	0.00
28350 - SUNY COLLEGE OF TECHNOLOGY AT ALFRED		
Fees Account	Community Bank	3,386,751.81
28360 - SUNY COLLEGE OF TECHNOLOGY AT CANTON		
Community Cash Deposits	NBT Bank	259,295.40
Income Fund	Key Bank	70,764.42
International Program Account	Key Bank	37,521.36
28370 - SUNY AGRICULTURAL & TECHNICAL COLLEGE AT COBLESKILL		
Income Fund	Key Bank	76,915.90
28380 - SUNY COLLEGE OF TECHNOLOGY AT DELHI		

General Revenue	Delaware National Bank	92,047.58
Petty Cash Fund	Delaware National Bank	0.00
28390 - SUNY COLLEGE OF TECHNOLOGY AT FARMINGDALE		
Income Fund	Citibank	914,322.42
28400 - SUNY AGRICULTURAL & TECHNICAL COLLEGE AT MORRISVILLE		
Income Fund	Key Bank	1,660,165.32
Revenue Account	NBT Bank	11,007.67
28550 - SUNY COLLEGE OF ENVIRONMENTAL SCIENCE & FORESTRY		
Agency Advance	Key Bank	0.00
Controlled Disb	Key Bank	0.00
ESF/GSA	Key Bank	0.00
Forestry	Community Bank	767.89
Regular Account	Key Bank	99,256.75
Student Government	Key Bank	0.00
28570 - SUNY MARITIME COLLEGE		
Controlled Disbursement Account	JPMorgan Chase Bank, N.A.	0.00
Cruise Account	JPMorgan Chase Bank, N.A.	0.00
Revenue Deposit Account	JPMorgan Chase Bank, N.A.	611,839.75
Revenue EFT Account	JPMorgan Chase Bank, N.A.	8,075.01
28580 - SUNY COLLEGE OF OPTOMETRY		
General Revenue	JPMorgan Chase Bank, N.A.	114,388.13
Medical Transportation	JPMorgan Chase Bank, N.A.	100.88
28650 - SUNY CENTRAL SYSTEM ADMINISTRATION		
ASC	Key Bank	10,000.00
NYS Iso	Key Bank	2,194,561.81
Revenue	Key Bank	75,532.92
37000 - DEPARTMENT OF FINANCIAL SERVICES		
Confidential Investigations	JPMorgan Chase Bank, N.A.	9,047.72
Confidential Investigations	JPMorgan Chase Bank, N.A.	11,202.85
Fire Tax Account (Main)	Key Bank	5,336,817.59
Fire Tax Payment	Key Bank	0.00
General Assessment Account	JPMorgan Chase Bank, N.A.	1,461,253.34
General Fund	Key Bank	573,500.56
Market Stabilization Pool Account	JPMorgan Chase Bank, N.A.	7,071,110.30
Miscellaneous Account	JPMorgan Chase Bank, N.A.	6,344,552.28
Paid Family Leave	JPMorgan Chase Bank, N.A.	0.00
Petty Cash	Key Bank	6,000.00
Workers Comp Insurance Sec Fund Pymnt	JPMorgan Chase Bank, N.A.	100,055.54
49010 - SARATOGA-CAPITAL DISTRICT STATE PARK COMMISSION		
Revenue (SA)	Glens Falls National	45,490.91
SARATOGA REGION CONTRACTORS BID ACCOUNT	Key Bank	87,398.68
49020 - LONG ISLAND STATE PARK COMMISSION		
Contractors Bid (LI)	JPMorgan Chase Bank, N.A.	66,768.93
Regional Account (LI)	Bank of America, N.A.	1.00
Regional Account 2 (LI)	JPMorgan Chase Bank, N.A.	136,081.69
Revenue (LI)	People's United Bank	30,731.73
49030 - GENESEE STATE PARK COMMISSION		
Contractors Bid (GE)	Bank of Castile	43,060.00
Revenue (GE)	Bank of Castile	57,136.11
49040 - NIAGARA FRONTIER STATE PARK COMMISSION		
Contractors Bid (NIA)	Key Bank	4,448.14
Revenue (NIA)	Evans National Bank	29,499.35
49050 - PALISADES INTERSTATE STATE PARK COMMISSION		
Contractors Bid (PA)	JPMorgan Chase Bank, N.A.	2,327.89
49070 - OFFICE OF PARKS & RECREATION		
Main Office - Change Fund	Key Bank	214,410.00
Main Office Account (ALB)	Key Bank	1,500.00
OPRHP Concentration Account	Key Bank	84,717.94
Petty Cash (ALB)	Key Bank	29,913.20
Revenue (NI, GE, AL, CE, TA)	M&T Bank	83,027.03
Revenue (NYC, CE, LI, PA, TA)	JPMorgan Chase Bank, N.A.	22,571.28
Revenue (SA, LI, GE, NI, CE, TA)	Bank of America, N.A.	21,790.88
Revenue (SA, NI, PA, CE, TA, TI)	Key Bank	34,572.15
Revenue (various)	Wells Fargo Bank	89,555.94
Statewide Campsite/Cabin Revenue	JPMorgan Chase Bank, N.A.	413,437.71
Statewide Credit Card Revenue, Revenue (ALB, FL, LI, PA, TI)	Key Bank	201,722.68
Statewide Housing Security Deposits	Key Bank	132,190.20
49090 - FINGER LAKES STATE PARK COMMISSION		
Contractors Bid (FL)	Tompkins County Trust	20,063.78
Revenue (FL)	Savannah Bank	40,335.62
Revenue (FL-Multi)	Community Bank	6,726.16
Revenue (FL-Multi-Facilities)	Tompkins County Trust	155,963.95
49100 - ALLEGANY STATE PARK COMMISSION		
Contractors Bid (AL)	Five Star Bank	868.00

Regional Account (AL)	Five Star Bank	125,472.21
Revenue (AL)	Five Star Bank	55,576.92
49120 - CENTRAL NEW YORK STATE PARK COMMISSION		
Contractors Bid (CE)	JPMorgan Chase Bank, N.A.	20,721.27
Revenue (CE, SA, TI)	NBT Bank	39,953.04
49130 - TACONIC STATE PARK COMMISSION		
Contractors Bid (TA)	M&T Bank	714.46
49140 - THOUSAND ISLANDS STATE PARK COMMISSION		
Revenue (TI)	Citizens Bank	23,764.56
Revenue (TI-Multi)	Community Bank	1,157.87
50000 - OFFICE OF MENTAL HEALTH		
Consolidated Advance	Bank of America, N.A.	19,486.58
Iterim Assistance Agreement	Bank of America, N.A.	0.00
OMH Medication Grant Program Acct	Bank of America, N.A.	112,242.13
Reimbursement Account	Bank of America, N.A.	1,571,358.45
50010 - GREATER BINGHAMTON HEALTH CENTER		
Agency Advance Account	JPMorgan Chase Bank, N.A.	3,499.46
Facility Holding Account	JPMorgan Chase Bank, N.A.	13,863.70
Patient Cash Funds	JPMorgan Chase Bank, N.A.	450,731.90
Patients Cash Account	JPMorgan Chase Bank, N.A.	248,935.78
Security Deposit	JPMorgan Chase Bank, N.A.	2,580.19
50020 - KINGSBORO PSYCHIATRIC CENTER		
Advance Account	Banco Popular	16,351.90
Family Care	Banco Popular	14,290.87
Holding Account	Banco Popular	211,782.01
Medicaid Outpatient Travel	Banco Popular	371.98
Patient Cash Acct (MM)	Banco Popular	190,165.83
Patient Checking Account	Citibank	38,422.88
Patient Savings Account	Banco Popular	334,570.46
Security Deposit	Banco Popular	2,489.07
Urban Oasis/EBT	Banco Popular	51,916.32
50030 - BUFFALO PSYCHIATRIC CENTER		
Advance Account	Key Bank	55,198.68
Facility Holding	Key Bank	16,665.60
Patient Cash Checking	Key Bank	99,135.38
50060 - HUDSON RIVER PSYCHIATRIC CENTER		
Patients Cash	JPMorgan Chase Bank, N.A.	0.00
50080 - MANHATTAN PSYCHIATRIC CENTER		
Advance Account	Sterling Bank	11,721.54
CD	Hudson Valley National Bank	425,038.94
General Fund Checking	Hudson Valley National Bank	6,897.74
Patient Cash Checking	Hudson Valley National Bank	762,766.53
Patients Money Market	Hudson Valley National Bank	72,847.92
Social Service Tokens	Hudson Valley National Bank	33,944.87
50110 - ROCHESTER PSYCHIATRIC CENTER		
Agency Advance	Key Bank	22,919.33
Facility Holding	Key Bank	58,719.04
Patients Cash Account	Key Bank	160,026.34
Patients Fund Savings	Key Bank	198,409.58
50120 - ST LAWRENCE PSYCHIATRIC CENTER		
Facility Advance Account	Community Bank	13,774.69
Facility Holding Account	Community Bank	20,159.76
Patients Cash Account	Community Bank	28,849.07
Patients Cash Savings	Community Bank	199,891.43
50150 - CREEDMOOR PSYCHIATRIC CENTER		
Advance Account	HSBC	40,277.55
Certificate Of Deposit	HSBC	150,000.00
Certificate Of Deposit	HSBC	250,000.00
Holding Account	HSBC	15,290.00
Medicaid Travel Account	HSBC	0.00
Money Management Account	HSBC	495,855.56
Patient Cash Account	HSBC	139,100.09
Rent Holding Account	HSBC	3,912.00
50170 - ROCKLAND PSYCHIATRIC CENTER		
Advance Account	JPMorgan Chase Bank, N.A.	33,002.78
Exchange	JPMorgan Chase Bank, N.A.	120,800.80
Holding Account	JPMorgan Chase Bank, N.A.	63,245.89
INVESTMENT CD A	Sterling Bank	100,000.00
Investment CD B	Sterling Bank	100,000.00
INVESTMENT CD C	Sterling Bank	100,000.00
INVESTMENT CD D	Sterling Bank	100,000.00
INVESTMENT CD G	Sterling Bank	100,000.00
INVESTMENT CD I	Sterling Bank	100,000.00
Patient Cash Account	JPMorgan Chase Bank, N.A.	50,000.00

Patient Cash Checking Account	JPMorgan Chase Bank, N.A.	122,421.57
Patient Cash Savings Account	JPMorgan Chase Bank, N.A.	1,080,548.76
50180 - NYS PSYCHIATRIC INSTITUTE		
Donation & Gift Acct/Patient Fund Acct	JPMorgan Chase Bank, N.A.	4,559.21
General	JPMorgan Chase Bank, N.A.	72,097.34
Petty Cash	JPMorgan Chase Bank, N.A.	1,654.57
50190 - RICHARD H HUTCHINGS PSYCHIATRIC CENTER		
Advance Account	Key Bank	9,983.48
Clients Count	Key Bank	118,259.59
Holding Account	Key Bank	18,424.80
50200 - PILGRIM PSYCHIATRIC CENTER		
Facility Advance Account	JPMorgan Chase Bank, N.A.	43,181.80
Facility Holding Acct	JPMorgan Chase Bank, N.A.	186,805.56
Patient Cash	JPMorgan Chase Bank, N.A.	753,319.62
50210 - MOHAWK VALLEY PSYCHIATRIC CENTER		
Advance Fund	Key Bank	14,854.20
Facility Holding	Key Bank	2,110.93
Patient Cash Checking	Key Bank	20,663.54
Patient Cash Savings	Key Bank	28,926.39
Security Deposit	Key Bank	8,521.86
50310 - BRONX PSYCHIATRIC CENTER		
CD	JPMorgan Chase Bank, N.A.	250,000.00
Consolidated Advance	JPMorgan Chase Bank, N.A.	16,598.46
Misc. Receipts	JPMorgan Chase Bank, N.A.	26,861.38
Patients Cash MM	JPMorgan Chase Bank, N.A.	87,750.17
Patients Checking Acct	JPMorgan Chase Bank, N.A.	505,834.28
50340 - NATHAN KLINE INSTITUTE		
Petty Cash Account	JPMorgan Chase Bank, N.A.	1,300.00
50350 - KIRBY FORENSIC PSYCHIATRIC CENTER		
Consolidated Advance Account	Hudson Valley National Bank	6,005.19
Holding Account	Hudson Valley National Bank	33,606.00
Patient Cash Account	Hudson Valley National Bank	111,283.04
50390 - CENTRAL NY PSYCHIATRIC CENTER		
Agency Advance Account	Key Bank	4,732.28
General Fund	Key Bank	9,383.24
Patient Checking	Key Bank	69,323.93
Patient Savings	Key Bank	201,439.43
Security Deposit	Key Bank	3,819.59
50440 - MID-HUDSON FORENSIC PSYCHIATRIC CENTER		
Facility Advance Account	Key Bank	15,975.00
Facility Holding Account	Key Bank	3,130.85
Patients Account	Key Bank	200,017.62
50520 - BROOKLYN CHILDRENS PSYCHIATRIC CENTER		
Petty Cash Advance Account	Banco Popular	4,930.00
50790 - SOUTH BEACH PSYCHIATRIC CENTER		
Agency Advance Checking	JPMorgan Chase Bank, N.A.	16,945.42
Facility Holding Checking	JPMorgan Chase Bank, N.A.	13,710.06
Family Care Checking	JPMorgan Chase Bank, N.A.	0.00
Patients Cash Checking	JPMorgan Chase Bank, N.A.	499,333.96
50800 - BRONX CHILDRENS PSYCHIATRIC CENTER		
General Fund	JPMorgan Chase Bank, N.A.	14,586.00
50810 - WESTERN NY CHILDRENS PSYCHIATRIC CENTER		
Agency Advance	Key Bank	1,712.49
Exchange Account	Key Bank	0.00
Patient Cash	Key Bank	125.00
50850 - SAGAMORE CHILDRENS PSYCHIATRIC CENTER		
Sagamore Patient Personal Acct	JPMorgan Chase Bank, N.A.	50,264.23
Sagamore Petty Cash Account	JPMorgan Chase Bank, N.A.	5,460.50
50860 - ROCKLAND CHILDRENS PSYCHIATRIC CENTER		
Advance Account	JPMorgan Chase Bank, N.A.	18,137.19
50870 - QUEENS CHILDRENS PSYCHIATRIC CENTER		
Money Management Account	HSBC	3,573.89
Queens Adv Acct	HSBC	11,193.32
Queens Childrens Account	HSBC	6,532.69
50920 - ELMIRA PSYCHIATRIC CENTER		
Certificate of Deposit	Chemung Canal Trust	100,000.00
Certificate of Deposit	Chemung Canal Trust	100,000.00
Facility Advance Account	Chemung Canal Trust	11,301.82
General Fund Account	Chemung Canal Trust	2,863.00
IMMA	Chemung Canal Trust	46,128.49
Patients Fund Account	Chemung Canal Trust	359,120.21
50980 - CAPITAL DISTRICT PSYCHIATRIC CENTER		
Facility Advance Account	Key Bank	15,001.19
Facility Holding Account	Key Bank	141,596.60

Parking Garage Account	Key Bank	218,720.35
Patients Cash Checking Account	Key Bank	184,219.84
Patients Cash Savings Account	Key Bank	397,148.62
51000 - NYS OFFICE FOR PEOPLE WITH DEVELOPMENTAL DISABILITIES		
Petty Cash Acct	Bank of America, N.A.	No report received
Revenue Account	Bank of America, N.A.	5,677,078.99
51210 - HUDSON VALLEY DDSO		
EBT Checking	JPMorgan Chase Bank, N.A.	No report received
Exchange Account	JPMorgan Chase Bank, N.A.	No report received
General Fund	JPMorgan Chase Bank, N.A.	No report received
Investor's Choice Savings	JPMorgan Chase Bank, N.A.	No report received
Petty Cash	JPMorgan Chase Bank, N.A.	No report received
PTS Cash Checking	JPMorgan Chase Bank, N.A.	No report received
51240 - CENTRAL NY DDSO		
Advance Accounts	Key Bank	34,764.79
Clients Account	Key Bank	251,167.25
Consumer Cash - Savings	Adirondack Bank	699,885.45
Consumer Cash - Savings	Key Bank	3,416,128.75
51250 - TACONIC DDSO		
Agency Advance Account	M&T Bank	63,359.76
General Fund	M&T Bank	4,005.97
Patients Cash Checking	M&T Bank	1,762,590.30
500 Balltown Rd Schenectady, NY		
TDDSO Representative Payee Savings Acct	The Adirondack Trust Company	1,031,615.18
51270 - STATEN ISLAND DDSO		
Clients Cash Account	JPMorgan Chase Bank, N.A.	No report received
General Fund Account	JPMorgan Chase Bank, N.A.	No report received
Money Market Account	JPMorgan Chase Bank, N.A.	No report received
Petty Cash Account	JPMorgan Chase Bank, N.A.	No report received
51290 - CAPITAL DISTRICT DDSO		
Agency Advance Account	Key Bank	No report received
Agency Advance Account	The Adirondack Trust Company	No report received
Consumer EBT Fund / Fiduciary Account	Key Bank	No report received
Consumers Fund / Fiduciary Account	Key Bank	No report received
Patients Account Direct Deposit / Fiduciary Acct	The Adirondack Trust Company	No report received
Patients Fund Operating Acct / Fiduciary Acct	The Adirondack Trust Company	No report received
Summer Camp - Fiduciary Acct	The Adirondack Trust Company	No report received
51330 - WESTERN NY DDSO		
Agency Advance Account	M&T Bank	No report received
CD-Patient Property Funds	Key Bank	No report received
Exchange Account	M&T Bank	No report received
General Account	Community Bank	No report received
Patient Property Funds	Adirondack Bank	No report received
Patient Property Funds	M&T Bank	No report received
51350 - LONG ISLAND DDSO		
Consolidated Advance	JPMorgan Chase Bank, N.A.	No report received
EBT Checking Account	JPMorgan Chase Bank, N.A.	No report received
General Fund	JPMorgan Chase Bank, N.A.	No report received
Patient Cash	JPMorgan Chase Bank, N.A.	No report received
51380 - BROOKLYN DDSO		
CD	Banco Popular	No report received
Consumers Fund	JPMorgan Chase Bank, N.A.	385,333.89
Consumers Money Management	JPMorgan Chase Bank, N.A.	686,958.70
Miscellaneous Receipts	JPMorgan Chase Bank, N.A.	219,386.97
Petty Cash - Mental Hygiene Brooklyn	JPMorgan Chase Bank, N.A.	22,307.11
Thomas Shirtz Community Service	JPMorgan Chase Bank, N.A.	5,412.30
51420 - SUNMOUNT DDSO		
Certificate of Deposit	Community Bank	No report received
Community Store Fund	Community Bank	No report received
Exchange Fund	Community Bank	No report received
Residents Fund	Community Bank	No report received
Sunmount Advance Account	Community Bank	No report received
Sunmount EBT Checking Account	Community Bank	No report received
51430 - INSTITUTE FOR BASIC RESEARCH IN DEVELOPMENTAL DISABILITIES		
Petty Cash	JPMorgan Chase Bank, N.A.	3,000.00
51450 - METRO NY DDSO		
Consolidated Acct	JPMorgan Chase Bank, N.A.	30,739.87
Manhattan DDSO Client Cash	JPMorgan Chase Bank, N.A.	32,946.97
Metro NY DDSO Food Stamp Acct	JPMorgan Chase Bank, N.A.	0.00
Metro NY DDSO REP PAYEE ACCOUNT	JPMorgan Chase Bank, N.A.	296,198.26
Patients Cash Account	JPMorgan Chase Bank, N.A.	18,798.32
Patients Money Market Account	JPMorgan Chase Bank, N.A.	0.10
Petty Cash	JPMorgan Chase Bank, N.A.	0.00
51470 - BERNARD M FINESON DDSO		

Bernard Fineson DDSO Food Stamp Acct	JPMorgan Chase Bank, N.A.	No report received
Money Market Account	JPMorgan Chase Bank, N.A.	No report received
Patient Fund Account	JPMorgan Chase Bank, N.A.	No report received
Petty Cash Fund	JPMorgan Chase Bank, N.A.	No report received
51780 - FINGER LAKES DDSO		
Advance Account	JPMorgan Chase Bank, N.A.	No report received
F.L. Newark Resident Checking	Community Bank	No report received
Finger Lakes Resident Checking	JPMorgan Chase Bank, N.A.	No report received
FL Vending Machine Account	Community Bank	No report received
General Account	JPMorgan Chase Bank, N.A.	No report received
Geneseo Client Cash	Bank of America, N.A.	No report received
Kelsey Trust Fund	Bank of America, N.A.	No report received
Mary Moore Trust Fund	Bank of America, N.A.	No report received
Monroe Resident Checking	JPMorgan Chase Bank, N.A.	No report received
Monroe Resident Savings	JPMorgan Chase Bank, N.A.	No report received
Patient Food Stamp Account	JPMorgan Chase Bank, N.A.	No report received
51940 - BROOME DDSO		
Broome DDSO	M&T Bank	No report received
Broome DDSO - Advance Account	M&T Bank	No report received
Broome DDSO - General Fund	M&T Bank	No report received
Disabled Individuals Savings	Key Bank	No report received
Disabled Individuals Savings	M&T Bank	No report received
OMRDD Broome DDSO EBT Checking	M&T Bank	No report received
53000 - OFFICE OF ALCOHOLISM & SUBSTANCE ABUSE SERVICES		
Agency Advance Acct	Key Bank	No report received
Creedmoor PNA Account	JPMorgan Chase Bank, N.A.	No report received
Patient Fees	Bank of America, N.A.	No report received
Revenue Account	Bank of America, N.A.	No report received
53020 - KINGSBORO ALCOHOLISM TREATMENT CENTER		
Petty Cash Advance Account	Bank of America, N.A.	No report received
70000 - CUNY UNIVERSITY MANAGEMENT & PROGRAM BOARD OF HIGHER EDUCATION		
CUNY Admin Imprest Cash Account	Citibank	8,664.00
70030 - CUNY HUNTER COLLEGE		
Travel Petty Cash Account	Citibank	45,785.79
70060 - CUNY JOHN JAY COLLEGE		
CUNY JOHN JAY COLLEGE IMPREST FUND	Citibank	16,141.10
70070 - CUNY LEHMAN COLLEGE		
Lehman College	Citibank	4,217.20
70080 - CUNY YORK COLLEGE		
York College Imprest Funds	Citibank	11,288.64
York College Travel Advance Fund	Citibank	817.00
70100 - CUNY COLLEGE OF STATEN ISLAND		
CSI Imprest Cash	TD Bank	4,910.57
70120 - CUNY NYC COLLEGE OF TECHNOLOGY		
NY City College Of Technology Technical College Imprest Fund	Popular Community Bank	5,000.00
70150 - CUNY SCHOOL OF LAW		
CUNY School Of Law	TD Bank	27,681.32

The above balances represent funds deposited in various banking institutions as reported by the State department and agencies, and published in accordance with Section 107 of the State Finance Law.

Division of the Treasury, Department of Taxation and Finance
Christopher Curtis Deputy Commissioner and State Treasurer

**FUNDS OF THE DIVISION OF THE TREASURY OF WHICH THE COMMISSIONER OF TAXATION AND FINANCE
IS THE SOLE CUSTODIAN WITH BALANCES AS OF 02/29/2020**

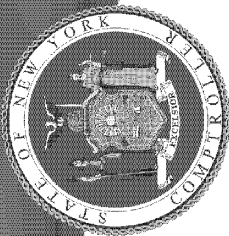
ACCOUNT DESCRIPTION	DEPOSITORY	BALANCE AS OF 02/29/2020
COMMUNITY COLLEGE TUITION AND INSTRUCTIONAL INCOME FUND		
0231 Upstate Community Colleges, Series 2005A	Key Bank	0.00
0232 Upstate Community Colleges, Series 2005B	Key Bank	510,220.87
DORMITORY AUTHORITY OF THE STATE OF NEW YORK		
0039 Mental Hygiene Facilities Improvement Fund Income Account	Bank of America, N.A.	206,095.21
0070 Hospital and Nursing Home Project Operating Fund	Key Bank	0.00
0104 Lincoln Medical and Mental Health Center Project Construction Account	Key Bank	16,767.06
0105 Greenpoint Medical and Mental Health Center Project Construction Account	Key Bank	303,335.88
0149 State Advances Repayment Account	Bank of America, N.A.	0.00
1202 DA DFRF MAC #1202 Binghamton	Key Bank	395.82
1203 DA DFRF MAC #1203 Oneonta	Key Bank	460.07
1205 DA DFRF MAC #1205 Delhi	Key Bank	577.87
1206 DA DFRF MAC #1206 Buffalo Univ	Key Bank	784.38
1207 DA DFRF MAC #1207 Buffalo College	Key Bank	916.63
1208 DA DFRF MAC #1208 Alfred	Key Bank	738.31
1209 DA DFRF Mac #1209 Fredonia	Key Bank	840.77
1211 DA DFRF Mac #1211 Upstate Medical	Key Bank	250.75
1212 DA DFRF Mac #1212 Oswego	Key Bank	728.22
1214 DA DFRF Mac #1214 Cortland	Key Bank	938.48
1215 DA DFRF MAC #1215 Stony Brook	Key Bank	(8,095,007.77)
1216 DA DFRF MAC #1216 Old Westbury	Key Bank	72.23
1217 DA DFRF MAC #1217 Farmingdale	Key Bank	223.41
1218 DA DFRF MAC #1218 Downstate Med	Key Bank	323.60
1219 DA DFRF MAC #1219 Maritime	Key Bank	652.07
1221 DA DFRF MAC #1221 Brockport	Key Bank	842.78
1222 DA DFRF MAC #1222 Geneseo	Key Bank	276.97
1223 DA DFRF MAC #1223 Purchase	Key Bank	877.11
1224 DA DFRF MAC #1224 New Paltz	Key Bank	366.86
1225 DA DFRF MAC #1225 Canton	Key Bank	(1,659,066.68)
1226 DA DFRF MAC #1226 Plattsburgh	Key Bank	118.30
1227 DA DFRF MAC #1227 Potsdam	Key Bank	57.92
1228 DA DFRF MAC #1228 Morrisville	Key Bank	529.12
1229 DA DFRF MAC #1229 SUNYIT	Key Bank	256.02
1230 DA DFRF MAC #1230 Cobleskill	Key Bank	233.08
1239 DA DFRF MAC #1239 Albany	Key Bank	119.73
1240 Dormitory Authority Collection Account - Mac 1240	Key Bank	0.00
2202 DA OMR MAC #2202 Binghamton	Key Bank	1,000.00
2203 DA OMR MAC #2203 Oneonta	Key Bank	3,323.00
2205 DA OMR MAC #2205 Delhi	Key Bank	1,000.00
2206 DA OMR MAC #2206 Buffalo Univ	Key Bank	1,000.00
2207 DA OMR MAC #2207 Buffalo College	Key Bank	1,000.00
2208 DA OMR MAC #2208 Alfred	Key Bank	1,000.16
2209 DA OMR MAC #2209 Fredonia	Key Bank	1,000.00
2211 DA OMR MAC #2211 Upstate Medical	Key Bank	1,000.00
2212 DA OMR MAC #2212 Oswego	Key Bank	1,000.00
2214 DA OMR MAC #2214 Cortland	Key Bank	1,000.00
2215 DA OMR MAC #2215 Stony Brook	Key Bank	1,000.00
2216 DA OMR MAC #2216 Old Westbury	Key Bank	1,235.93
2217 DA OMR MAC #2217 Farmingdale	Key Bank	1,019.65
2218 DA OMR MAC #2218 Downstate Med	Key Bank	1,025.97
2219 DA OMR MAC #2219 Maritime	Key Bank	1,219.91
2221 DA OMR MAC #2221 Brockport	Key Bank	1,000.55
2222 DA OMR MAC #2222 Geneseo	Key Bank	1,144.78
2223 DA OMR MAC #2223 Purchase	Key Bank	1,000.00
2224 DA OMR MAC #2224 New Paltz	Key Bank	1,000.00
2225 DA OMR MAC #2225 Canton	Key Bank	1,000.00
2226 DA OMR MAC #2226 Plattsburgh	Key Bank	1,009.09
2227 DA OMR MAC #2227 Potsdam	Key Bank	1,214.81
2228 DA OMR MAC #2228 Morrisville	Key Bank	73.26
2229 DA OMR MAC #2229 SUNYIT	Key Bank	1,000.00
2230 DA OMR MAC #2230 Cobleskill	Key Bank	1,198.71
2239 DA OMR MAC #2239 Albany	Key Bank	1,000.70
2240 DA UNALLOCATED FD MAC #2240 System Admin	Key Bank	1,014.11
HOMELESS HOUSING ASSISTANCE CORPORATION		
0320 Social Services Homeless Housing and Assistance Corporation Operating Account	Key Bank	4,746,808.33
NELSON A. ROCKEFELLER EMPIRE STATE PLAZA PERFORMING ARTS CENTER CORPORATION		

0315	The Egg	Key Bank	144,492.76
NEW YORK CONVENTION CENTER			
0300	Operating Fund	JPMorgan Chase Bank, N.A.	3,081,525.80
NEW YORK JOB DEVELOPMENT AUTHORITY			
0036	Special Purpose Fund	Bank of America, N.A.	1,106,209.78
0371	Series H Commercial Paper	Bank of America, N.A.	1,397,512.66
0389	Daily Demand Special Purpose Bonds Series 1992A-B	JPMorgan Chase Bank, N.A.	337,642.56
0423	Escrow Account for USA Industries Inc.	Key Bank	37,274.67
0424	Escrow Account for Pluritec USA Inc.	Key Bank	19,782.38
0426	Agriculture Loan Program	Key Bank	28,731.51
NYS AFFORDABLE HOUSING CORPORATION			
0491	Disbursement Account	JPMorgan Chase Bank, N.A.	140,272.75
0520	Development Account	Key Bank	11,068,427.36
0521	Development Account II	Key Bank	0.00
0522	Repayment Account	Key Bank	686,743.89
0523	Recapture Account	Key Bank	46,685.43
0880	Payroll Account	JPMorgan Chase Bank, N.A.	250.00
NYS DEPARTMENT OF HEALTH			
0004	Medical Indemnity Fund	JPMorgan Chase Bank, N.A.	(41,312.67)
NYS DEPARTMENT OF TAXATION AND FINANCE			
0510	Excelsior Linked Deposit Fund	Key Bank	0.00
0600	World Trade Center Memorial Foundation Fund Account	Bank of America, N.A.	85,620.09
0625	Advance Acct/Imprest Confidential Fund	Bank of America, N.A.	26,719.23
0626	Criminal Investigation Division	Key Bank	345,401.25
0778	PIT/STAR Rebate Exchange Account	JPMorgan Chase Bank, N.A.	0.00
0800	NYS IRS PIT offset account	Key Bank	6,901,326.46
0827	Stock Transfer Incentive Fund	Key Bank	1,156,203.12
0847	Pari-Mutuel Revenue Transfer Account	Key Bank	0.00
0848	Off-Track Bet Tax Revenue Transfer Account	Key Bank	0.00
NYS ENERGY RESEARCH & DEVELOPMENT AUTHORITY			
0028	Green Jobs - Green New York Fund	Bank of America, N.A.	0.00
0030	NYS Energy Research and Development Authority	Bank of America, N.A.	(35,449,940.03)
NYS HOUSING FINANCE AGENCY			
0032	Operating Fund	Key Bank	0.00
0252	Energy Conservation/Tenant Health & Safety Improvement Account	JPMorgan Chase Bank, N.A.	203,111.75
0254	Agency Assisted Housing Operation Fund	JPMorgan Chase Bank, N.A.	888,990.42
0255	Residual Indebtedness Program Operating Fund	JPMorgan Chase Bank, N.A.	0.00
0266	Community Related Programs Operating Account	Key Bank	0.00
0267	Neighborhood Stabilization Program - Round 1	JPMorgan Chase Bank, N.A.	62,646.12
0270	Claims Repayment Account	Key Bank	0.00
0271	Pre-Bond Revenue Account	Key Bank	0.00
0274	NYSHFA Special Reserve Fund	JPMorgan Chase Bank, N.A.	958,784.45
0277	Amalgamated Warbasse Houses Construction Defect Repair Fund	JPMorgan Chase Bank, N.A.	0.00
0283	Small Owner's Assistance Program Account	Key Bank	74,031.52
0285	Public Purpose Account	Key Bank	1,882,439.90
0286	Disbursement Account	Key Bank	2,506,235.96
0287	Infrastructure Development Fund	Key Bank	197,817.52
0288	Mobile Home Cooperative Fund	Key Bank	23,302.18
0290	Low Rent Lease Account	Key Bank	0.00
0292	Homeless Housing Initiatives	Key Bank	198,761.96
0294	Housing Plan Fund	Key Bank	4,355,563.17
0301	HFA - Subsidy Repayment Account	Key Bank	176,106.04
0305	HPD Disbursement Fund	Key Bank	997,778.63
0879	Payroll Account	JPMorgan Chase Bank, N.A.	125,999.24
NYS HOUSING TRUST FUND CORPORATION			
0458	Section 8 Housing Assistance Payment Account	JPMorgan Chase Bank, N.A.	1,811,011.60
0460	Escrow Account	M&T Bank	2,477,957.70
0461	Housing Modernization Account	M&T Bank	1,792,648.33
0462	General Custodial Account	M&T Bank	50,245,306.80
0463	General Administrative Account	M&T Bank	0.00
0464	Turnkey Account	M&T Bank	0.00
0465	Home Program Account	M&T Bank	8,440,626.77
0466	Homes for Working Families Account	M&T Bank	3,393,616.73
0467	Section 8 Administrative Account	M&T Bank	21,387,043.63
0468	Small Cities Administrative Account	M&T Bank	0.00
0469	OCR Community Miscellaneous Programs Account	M&T Bank	8,458,036.43
0470	HCV Main Account	Bank of America, N.A.	15,674,037.78
0471	Empire State Relief Fund	M&T Bank	552,351.95
0472	Master Escrow Account	Bank of America, N.A.	0.00

0473	Family Self-Sufficiency Account	Bank of America, N.A.	4,029,701.96
0474	Moderate Rehabilitation Account	Bank of America, N.A.	0.00
0475	Reserve Account	Bank of America, N.A.	1,548,243.74
0476	Voucher Fee Account	Bank of America, N.A.	0.00
0477	Five-Year Mainstream Account	Bank of America, N.A.	0.00
0480	OHP Miscellaneous Programs Account	Bank of America, N.A.	5,488,989.61
0891	Small Cities Community Development Block Grant Program	M&T Bank	600,503.39
0892	Disaster Recovery Initiative Account	M&T Bank	210,625.00
0893	Payroll Account for Small Cities CDBG Program	M&T Bank	158.69
0895	HTFC Storm Recovery Payment	M&T Bank	1,097,375.69
0899	HTFC Storm Recovery Lockbox	US Bank	45,008.68
NYS INSURANCE DEPARTMENT			
0001	Property/Casualty Insurance Security Fund	Key Bank	212,427.97
0002	Public Motor Vehicle Security Fund	JPMorgan Chase Bank, N.A.	666,865.79
0003	Workers' Compensation Security Fund	JPMorgan Chase Bank, N.A.	3,155,561.37
NYS TEACHERS RETIREMENT SYSTEM			
0052	Master Funding Account	State Street Bank & Trust Co.	0.00
0052	Main Account	JPMorgan Chase Bank, N.A.	879,232.45
0853	Excess Benefit Fund	JPMorgan Chase Bank, N.A.	3,361,751.00
STATE INSURANCE FUND			
0053	State Insurance Fund	Bank of America, N.A.	42,274,399.26
0054	State Insurance Fund	Bank of America, N.A.	2,852,098.93
0055	State Insurance Fund	Bank of America, N.A.	3,524,060.10
0861	Disability Benefits Fund Tax Escrow Account	Bank of America, N.A.	26,446.64
STATE UNIVERSITY CONSTRUCTION FUND			
0034	Income Fund	Key Bank	995,102.22
0075	Educational Facilities Revenue Bonds Debt Service Account	Key Bank	31,749.90
0870	Deductions Account	Key Bank	397,071.24
0871	Bio-Tech Incubator at Farmingdale	Key Bank	0.00
WORKERS COMPENSATION BOARD			
0006	Fund for Reopened Cases	Bank of America, N.A.	0.00
0012	WCB Asset Transfer Account	Bank of America, N.A.	0.00
0013	WCB Assessment Revenue Clearing	Bank of America, N.A.	0.00
008K	Special Fund for Disability Benefits	Key Bank	42,429.43

The above balances represent funds deposited in various banking institutions per the records of the Department of Taxation and Finance, Division of Treasury, and published in accordance with Section 107 of the State Finance Law.

Division of the Treasury, Department of Taxation and Finance
Christopher Curtis Deputy Commissioner and State Treasurer



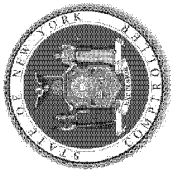
Office of the NEW YORK STATE
COMPTROLLER

Comptroller's Monthly Report on State Funds Cash Basis of Accounting

FEBRUARY 2020

NYS Comptroller
THOMAS P. DINAPOLI

Office of Operations
Division of Payroll, Accounting and Revenue Services
Bureau of Financial Reporting and Oil Spill Remediation



STATE OF NEW YORK
OFFICE OF OPERATIONS
DIVISION OF PAYROLL, ACCOUNTING AND REVENUE SERVICES
BUREAU OF FINANCIAL REPORTING AND OIL SPILL REMEDIATION

THOMAS P. DINAPOLI
STATE COMPTROLLER

COMPTROLLER'S MONTHLY REPORT TO THE LEGISLATURE ON STATE FUNDS - CASH BASIS OF ACCOUNTING
February 29, 2020

TABLE OF CONTENTS

Combined Statements of Cash Receipts, Disbursements and Changes in Fund Balances

Exhibit A	Governmental Funds	2
Exhibit A Supplemental	Governmental Funds - State Operating	3
Exhibit A Notes	Governmental Funds Footnotes	4
Exhibit B	Proprietary Funds	6
Exhibit C	Trust Funds	7
Exhibit D Governmental	Governmental Funds - Budgetary Basis - Financial Plan and Actual - Governmental	8
Exhibit D State Operating	Governmental Funds - Budgetary Basis - Financial Plan and Actual - State Operating	9
Exhibit D General Fund	Governmental Funds - Budgetary Basis - Financial Plan and Actual - General Fund	10
Exhibit D Special Revenue	Governmental Funds - Budgetary Basis - Financial Plan and Actual - Special Revenue	11
Exhibit D Special Revenue State/Federal	Governmental Funds - Budgetary Basis - Financial Plan and Actual - Special Revenue State and Federal	12
Exhibit D Debt	Governmental Funds - Budgetary Basis - Financial Plan and Actual - Debt Service	13
Exhibit D Capital Projects	Governmental Funds - Budgetary Basis - Financial Plan and Actual - Capital Projects	14
Exhibit D Capital Projects State/Federal	Governmental Funds - Budgetary Basis - Financial Plan and Actual - Capital Projects State and Federal	15
Exhibit E	Comparative Schedule of Tax Receipts	16
Cash Flow - Governmental	Governmental Funds - Governmental	17
Cash Flow - State Operating	Governmental Funds - State Operating	19

Combining Statements of Cash Receipts, Disbursements and Changes in Fund Balances

Exhibit F	General Fund - Statement of Cash Flow	21
Exhibit G	Special Revenue Funds Combined - Statement of Cash Flow	23
Exhibit G State	Special Revenue Funds State - Statement of Cash Flow	25
Exhibit G Federal	Special Revenue Funds Federal - Statement of Cash Flow	27
Exhibit H	Debt Service Funds - Statement of Cash Flow	29
Exhibit I	Capital Projects Funds Combined - Statement of Cash Flow	30
Exhibit I State	Capital Projects Funds State - Statement of Cash Flow	32
Exhibit I Federal	Capital Projects Funds Federal - Statement of Cash Flow	34
Exhibit J	Enterprise Funds - Statement of Cash Flow	35
Exhibit K	Internal Service Funds - Statement of Cash Flow	36
Exhibit L	Pension Trust Funds - Statement of Cash Flow	37
Exhibit M	Private Purpose Trust Funds - Statement of Cash Flow	38

Supplementary Schedules

Schedule 1	Governmental Funds - Summary of Cash Receipts, Disbursements and Changes in Fund Balances	39
Schedule 2	Proprietary Funds - Summary of Cash Receipts, Disbursements and Changes in Fund Balances	42
Schedule 3	Fiduciary Funds - Summary of Cash Receipts, Disbursements and Changes in Fund Balances	43
Schedule 4	Sole Custody and Investment Accounts - Statement of Cash Receipts and Disbursements	44
Schedule 5	Debt Service Funds - Statement of Direct State Debt Activity	45
Schedule 5a	Debt Service Funds - Financing Agreements	46
Schedule 6	Summary of the Operating Fund Investments	47
Appendix A	HCRA Resources Fund - Statement of Receipts and Disbursements by Account	48
Appendix B	HCRA Resources Fund - Statement of Program Disbursements	49
Appendix C	HCRA Public Goods Pool - Statement of Cash Flow	50
Appendix D	HCRA Medicaid Disproportionate Share - Statement of Cash Flow	51
Appendix E	Summary of Off-Budget Spending Report	52
Appendix F	Schedule of Month-End Temporary Loans Outstanding	53
Appendix G	Dedicated Infrastructure Investment Fund - Statement of Receipts and Disbursements	57
Appendix H	Medical Assistance Disbursements - State Funds	58
Appendix I	Medical Assistance Disbursements - Federal Funds	59

STATE OF NEW YORK
GOVERNMENTAL FUNDS
COMBINED STATEMENT OF CASH RECEIPTS, DISBURSEMENTS AND CHANGES IN FUND BALANCES
(amounts in millions)

EXHIBIT A

		GENERAL		SPECIAL REVENUE		DEBT SERVICE		CAPITAL PROJECTS		TOTAL GOVERNMENTAL FUNDS		YEAR OVER YEAR		
		MONTH OF FEB. 2020	11 MOS. ENDED FEB. 20, 2020	MONTH OF FEB. 20, 2020	11 MOS. ENDED FEB. 20, 2020	MONTH OF FEB. 20, 2020	11 MOS. ENDED FEB. 20, 2020	MONTH OF FEB. 20, 2020	11 MOS. ENDED FEB. 20, 2020	MONTH OF FEB. 20, 2019	11 MOS. ENDED FEB. 20, 2019	\$ Increase/ (Decrease)	% Increase/ Decrease	
RECEIPTS:	Personal Income Tax	(7)	\$ 1,848.4	\$ 22,807.5	\$ -	\$ 2,149.1	\$ 1,848.4	\$ 24,956.6	\$ -	\$ 3,365.8	\$ 44,528.3	\$ 5,384.9	12.1%	
	Consumption/Use Taxes	(4)	557.7	7,379.7	127.6	1,788.2	522.2	6,816.0	37.1	1,172.3	15,858.3	702.5	4.4%	
	Business Taxes	(101.6)	4,432.3	92.4	1,584.0	-	-	-	45.0	6,631.0	5,835.5	795.5	13.6%	
	Other Taxes	(3)	116.5	1,039.2	-	-	72.2	929.9	11.9	2,076.3	2,100.6	(24.3)	-1.2%	
	Miscellaneous Receipts	(4)	206.4	2,800.2	1,861.3	17,833.9	32.7	444.4	105.3	3,205.1	27,673.4	(1,977.6)	-7.1%	
	Federal Receipts		-	0.3	59,558.1	35.4	73.8	-	120.4	5,228.2	56,661.9	3,941.2	7.0%	
	Total Receipts		2,627.4	38,459.2	7,064.4	81,913.3	2,510.9	33,220.7	319.7	13,131.9	152,656.0	8,822.2	5.8%	
	DISBURSEMENTS:	Local Assistance Grants:	(3.4)											
		Education		836.7	18,421.6	404.8	8,963.6	-	-	3.4	1,244.9	27,553.8	27,243.3	310.5
Environment and Recreation			0.3	2.8	2.2	5.1	-	-	13.3	15.8	401.1	391.3	9.8	2.5%
General Government			19.0	973.0	36.3	266.9	-	-	25.9	81.2	2,027.0	1,990.9	36.1	1.8%
Public Health:														
Medicaid			1,194.5	17,721.4	3,923.4	43,067.4	-	-	-	5,117.9	60,788.8	57,107.6	3,681.2	6.4%
Other Public Health			106.8	1,980.6	560.2	6,616.3	-	-	34.3	701.3	9,077.9	9,278.5	(200.6)	-2.2%
Public Safety			10.7	153.8	190.2	1,418.8	-	-	2.0	202.9	1,656.7	1,489.3	169.4	12.9%
Public Welfare			197.3	2,204.6	275.1	3,910.1	-	-	14.7	487.1	6,482.8	6,558.4	(75.6)	-1.2%
Support and Regulate Business			22.1	136.4	8.7	61.8	-	-	101.3	132.1	1,031.0	1,151.4	(120.4)	-10.5%
Transportation		12.5	110.0	98.3	3,393.4	-	-	80.5	189.3	4,990.9	5,416.7	(425.8)	-7.9%	
Total Local Assistance Grants		2,389.9	41,704.2	5,497.2	67,703.4	-	-	275.4	8,172.5	114,007.0	110,607.4	3,404.6	3.1%	
Departmental Operations:														
Personal Service		664.0	8,298.1	455.3	5,322.5	-	-	-	1,119.3	13,620.6	13,232.9	387.7	2.9%	
Non-Personal Service		229.7	2,274.4	424.6	3,979.7	1.6	28.6	-	655.9	8,282.7	6,135.7	147.0	2.4%	
General State Charges		415.0	6,981.1	93.5	1,208.3	-	-	-	508.5	8,189.4	8,072.3	117.1	1.5%	
Debt Service, Including Payments on Financing Agreements	(1)	-	-	-	-	-	719.9	2,276.7	-	729.1	2,498.0	(221.3)	-8.9%	
Capital Projects		-	-	-	-	-	-	-	476.4	6,453.2	6,419.6	33.6	0.5%	
Total Disbursements		3,708.6	59,257.8	6,470.6	76,213.9	721.5	2,305.3	751.8	11,652.5	124,745.1	146,965.9	3,868.7	2.6%	
Excess (Deficiency) of Receipts over Disbursements		(1,081.2)	(20,798.6)	593.8	3,699.4	1,789.4	30,915.4	(432.1)	1,007.4	5,690.1	4,953.5	87.1%		
OTHER FINANCING SOURCES (USES):														
Bond Proceeds (net)		-	-	-	-	-	-	-	-	-	-	-	0.0%	
Transfers from Other Funds	(2)	1,642.2	31,042.0	92.5	2,157.2	219.0	2,712.3	378.8	2,332.5	953.7	33,447.7	6,514.4	19.5%	
Transfers to Other Funds	(2)	(415.7)	(6,485.8)	(275.6)	(2,112.9)	(1,579.3)	(30,881.9)	(66.7)	(2,337.3)	(956.7)	(33,495.2)	6,592.4	19.7%	
Total Other Financing Sources (Uses)		1,226.5	24,556.2	(183.1)	44.3	(1,360.3)	(27,969.6)	312.1	(4.8)	(3.0)	(47.5)	(78.0)	-164.2%	
Excess (Deficiency) of Receipts and Other Financing Sources over Disbursements and Other Financing Uses		145.3	3,757.6	410.7	3,743.7	428.1	2,945.8	(120.0)	1,004.4	5,642.6	4,875.5	86.4%		
Beginning Fund Balances (Deficits)		10,818.0	7,205.7	7,175.4	3,842.4	2,581.5	64.8	(946.9)	19,628.0	17,387.2	12,749.0	(2,774.0)	-21.8%	
Ending Fund Balances (Deficits)		\$ 10,963.3	\$ 10,963.3	\$ 7,586.1	\$ 7,586.1	\$ 3,010.6	\$ 3,010.6	\$ (1,066.9)	\$ 20,493.1	\$ 18,391.6	\$ 18,391.6	\$ 2,101.5	11.4%	

STATE OF NEW YORK

GOVERNMENTAL FUNDS-STATE OPERATING (*)

COMBINED STATEMENT OF CASH RECEIPTS, DISBURSEMENTS AND CHANGES IN FUND BALANCES

(amounts in millions)

EXHIBIT A
SUPPLEMENTAL

	GENERAL		STATE SPECIAL REVENUE (**)		DEBT SERVICE		TOTAL STATE OPERATING FUNDS			
	MONTH OF FEB. 2020	11 MOS. ENDED FEB. 29, 2020	MONTH OF FEB. 2020	11 MOS. ENDED FEB. 29, 2020	MONTH OF FEB. 2020	11 MOS. ENDED FEB. 29, 2020	MONTH OF FEB. 2020	11 MOS. ENDED FEB. 29, 2020	MONTH OF FEB. 2019	11 MOS. ENDED FEB. 28, 2019
RECEIPTS:										
Personal Income Tax	(7)	\$ 1,848.4	\$ 22,807.5	\$ -	\$ 2,149.1	\$ 1,848.4	\$ 3,686.8	\$ 49,913.2	\$ 3,385.8	\$ 44,528.3
Consumption/Use Taxes	(4)	557.7	7,373.7	127.6	1,788.2	522.2	1,207.5	15,983.9	1,130.9	15,285.3
Business Taxes		(101.6)	4,432.3	92.4	1,584.0	-	(9.2)	6,016.3	(62.2)	5,225.7
Other Taxes	(3)	116.5	1,039.2	-	-	72.2	188.7	1,969.1	137.3	1,993.4
Miscellaneous Receipts	(4)	206.4	2,800.2	1,842.6	17,630.9	32.7	2,081.7	20,875.5	2,028.2	21,593.6
Federal Receipts		-	0.3	0.2	(8.8)	35.4	35.6	65.3	36.4	72.4
Total Receipts		2,627.4	38,459.2	2,062.8	23,143.4	2,510.9	7,201.1	94,823.3	6,656.4	88,678.7
DISBURSEMENTS:										
Local Assistance Grants:										
Education	(3,4)	836.7	18,421.6	147.1	5,746.1	-	983.8	24,167.7	982.0	23,736.7
Environment and Recreation		0.3	2.8	2.0	4.0	-	2.3	6.8	0.5	7.0
General Government		19.0	973.0	34.2	217.5	-	53.2	1,190.5	13.3	1,075.3
Public Health:										
Medicaid		1,194.5	17,721.4	492.2	5,510.6	-	1,686.7	23,232.0	1,816.5	20,976.8
Other Public Health		106.8	1,980.6	55.2	817.5	-	162.0	2,798.1	235.5	2,950.0
Public Safety		10.7	153.8	56.1	168.3	-	66.8	322.1	30.8	313.0
Public Welfare		197.3	2,204.6	0.1	3.8	-	197.4	2,208.4	136.3	2,085.8
Support and Regulate Business		22.1	136.4	8.5	53.8	-	30.6	190.2	21.7	197.5
Transportation		12.5	110.0	90.0	3,337.3	-	102.5	3,447.3	123.6	3,766.6
Total Local Assistance Grants		2,399.9	41,704.2	885.4	15,858.9	-	3,285.3	57,593.1	3,360.2	55,113.7
Departmental Operations:										
Personal Service		664.0	8,298.1	404.5	4,734.6	-	1,068.5	13,032.7	1,051.2	12,645.9
Non-Personal Service		229.7	2,274.4	273.6	2,728.1	1.6	504.9	5,031.1	522.2	4,914.2
General State Charges		415.0	6,981.1	64.5	900.8	-	479.5	7,881.9	475.2	7,678.9
Debt Service, Including Payments on Financing Agreements		-	-	-	-	-	719.9	2,276.7	729.1	2,498.0
Capital Projects		-	-	-	-	-	-	-	-	-
Total Disbursements		3,708.6	59,257.8	1,628.0	24,222.4	721.5	6,058.1	85,785.5	6,137.9	82,850.7
Excess (Deficiency) of Receipts over Disbursements		(1,081.2)	(20,798.6)	434.8	(1,079.0)	1,789.4	1,143.0	9,037.8	518.5	5,828.0
OTHER FINANCING SOURCES (USES):										
Transfers from Other Funds	(2)	1,642.2	31,042.0	123.0	2,628.5	219.0	1,984.2	36,382.8	1,391.8	31,675.1
Transfers to Other Funds	(2)	(415.7)	(6,485.8)	(130.1)	(603.0)	(1,579.3)	(2,125.1)	(37,770.7)	(663.0)	(31,609.4)
Total Other Financing Sources (Uses)		1,226.5	24,556.2	(7.1)	2,025.5	(1,360.3)	(140.9)	(1,387.9)	728.8	85.7
Excess (Deficiency) of Receipts and Other Financing Sources over Disbursements and Other Financing Uses		145.3	3,757.6	427.7	946.5	429.1	1,002.1	7,649.9	1,247.3	5,883.7
Beginning Fund Balances (Deficits)		-10,818.0	7,205.7	5,609.6	5,090.8	2,581.5	19,009.1	12,361.3	18,253.0	13,606.6
Ending Fund Balances (Deficits)		\$ 10,963.3	\$ 10,963.3	\$ 6,037.3	\$ 6,037.3	\$ 3,010.6	\$ 20,011.2	\$ 20,011.2	\$ 19,500.3	\$ 19,500.3

(*) State Operating Funds are comprised of the General Fund, State Special Revenue Funds supported by activities from dedicated revenue sources (including operating transfers from Federal Funds) and Debt Service Funds.

(**) Eliminations between Special Revenue - State and Federal Funds are not included.

GOVERNMENTAL FUNDS FOOTNOTES

1. Certain disbursements from Capital Projects funds are financed by operating transfers from other funds, proceeds of State bonds and notes, and reimbursements received from Public Authorities and the Federal Government. The amounts shown below represent disbursements to be reimbursed in future months from the sources indicated:

Urban Development Corporation (Correctional Facilities)	\$376.0	million
Urban Development Corporation (Youth Facilities)	20.1	
Housing Finance Agency (HFA)	175.7	
Housing Assistance Fund	12.9	
Dormitory Authority (Mental Hygiene)	383.8	
Dormitory Authority and State University Income Fund	759.2	
Federal Capital Projects	566.8	
State bond and note proceeds	143.5	

2. Operating Transfers constitute legally authorized transfers from a fund receiving revenues to a fund through which disbursements will ultimately be made. The more significant transfers include:

General Fund "Transfers to Other Funds" are as follows:

State Capital Projects Fund	\$2,627.1	million
General Debt Service Fund	525.0	
Banking Services Account	35.6	
Building Administration Account	8.0	
Business Service Center Account	8.1	
Centralized Tech Services Account	11.5	
Court Facilities Incentive Aid Fund	113.7	
Dedicated Highway & Bridge Trust Fund	49.5	
Dedicated Infrastructure Investment Fund	1,160.0	
Dedicated Mass Transportation - Railroad Account	6.6	
Dedicated Mass Transportation - Transit Authority Account	36.7	
Dedicated Mass Transportation - (Non-MTA)	3.8	
Environmental Protection Fund	26.0	
Health Insurance Revolving Fund	7.9	
Housing Debt Service Fund	1.5	
Indigent Legal Services	22.1	
MTA Financial Assistance Fund	244.3	
MTA Operating Assistance Fund	36.9	
NY Central Business District Trust Fund	100.0	
NYC County Courts Operating Account	3.2	
Recruitment Incentive Fund	2.1	
SUNY - Income Fund	1,161.5	

Also included in the General Fund are transfers representing payments for patients residing in State-operated health, mental hygiene and State University facilities to Debt Service funds (\$9.7m), and the State University Income Fund (\$282.8m).

\$72(4)(b) was added to the State Finance Law in 2010 to permit the State's General Debt Service Fund to maintain a cash reserve for the payment of debt service, and related expenses, during the current fiscal quarter. As of February 29, 2020 - pursuant to a certification of the Budget Director - the reserve amount is (\$91.2m), which was funded by a transfer from the General Fund.

EXHIBIT A NOTES
February 2020

Special Revenue Funds "Transfers To Other Funds" includes transfers to Mental Health Services Fund and Department of Health Income Fund (\$1,367.8m) representing the federal share of Medicaid payments for patients residing in State-operated Health and Mental Hygiene facilities, the General Debt Services Fund (\$43.8m), Medicaid Management Information System Escrow Fund (\$57.3m), SUNY Capital Projects Fund (\$80.3m), State Capital Projects Fund (\$4.0m) and All Other Capital Projects (\$101.3m).

Also included in Special Revenue funds are transfers to the General Fund from the following:

Business & Licensing Services Account	\$3.8	million
Chemical Dependence Service Fund	101.3	
Criminal Justice Improvement Account	21.8	
Encon Special Revenue	6.4	
Federal Dept. of Health & Human Services Fund	53.1	
Federal Education Fund	1.5	
Federal Employment & Training Grants	1.2	
Federal Operating Grants Fund	3.5	
Federal USDA/Food and Nutrition Services Fund	41.7	
HESC Insurance Premium Account	5.9	
Legal Services Assist Account	14.3	
Motor Vehicle Theft & Insurance Fraud Account	1.1	
MTA Operating Assistance	1.2	
NYC Assessment Account	22.9	
Patron Services Account	1.5	
Public Service Account	2.7	
State Lottery Fund	5.2	
State Police Motor Vehicle Law Enforcement Fund	74.9	
SUNY Income Fund	34.3	
System and Technology Account	2.5	
Training and Education Program on OSHA	1.4	
Unemployment Insurance Administration Fund	19.5	
Unemployment Insurance, Interest & Penalty	11.6	
Workers Comp Account	6.2	

Debt Service Funds "Transfers To Other Funds" includes transfers to the General Fund from the following:

Revenue Bond Tax Fund	\$22,552.2	million
Local Government Assistance Tax Fund	3,105.4	
Sales Tax Revenue Bond Tax Fund	2,602.3	
Clean Water/Clean Air Fund	876.0	
Mental Health Services Fund	1,401.1	

Also included in Debt Service funds are transfers to Special Revenue funds representing receipts in excess of lease-purchase obligations that are used to finance a portion of the operating expenses for the Department of Health (\$143.0m).

Capital Projects Funds "Transfers To Other Funds" includes transfers to the General Fund (\$62.8m), the General Debt Service Fund - Lease Purchase (\$471.8m), and the Revenue Bond Tax Fund (\$272.4m).

GOVERNMENTAL FUNDS FOOTNOTES

3. Part UU of Section 11 of Chapter 59 of the Laws of 2018 amended section 805(b) of the tax law, whereby the receipts from the metropolitan commuter transportation mobility tax will be paid into the metropolitan transportation authority finance fund pursuant to statute but without appropriation. The result is that neither the mobility tax receipts nor the related grant disbursements to the MTA are recorded in the State funds. The MTA mobility tax activity is now reported in Schedule 4 as part of the MTA State Assistance fund group.
4. Part FF of Chapter 59 of the Laws of 2019 amended paragraphs (b-1) and (c-3) of subdivision two of section 503 of the vehicle and traffic law, article 29-a of the tax law, article 17-c of the vehicle and traffic law and section 1166-a of the tax law, whereby the receipts from the various taxes and fees will be paid into the metropolitan transportation authority special assistance fund pursuant to statute but without appropriation. The activity is now reported in Schedule 4 as part of the MTA State Assistance fund group.
5. Part NNN of Chapter 59 of the Laws of 2018 added Tax Law, Article 29-C, on April 1, 2018, with collection of the for-hire congestion surcharge scheduled to begin on January 1, 2019. Amounts collected will be paid into the NYC transportation fund pursuant to statute but without appropriation. The result is that neither the surcharge nor the related disbursements to MTA are recorded in State Funds. The for-hire congestion surcharge activity is reported in Schedule 4 as part of the MTA State Assistance fund group.
6. Part OOO of Chapter 59 of the Laws of 2019 added to and amended Tax Law Article 31. Section 1402-b added an additional real estate transfer tax to residential property over \$2 million, in cities with a population of over 1 million. Section 1421(b) of the tax law was amended directing these taxes be remitted to the MTA pursuant to statute but without appropriation. The result is that neither the tax nor the related disbursements to the MTA are recorded in State Funds. This activity is reported in Schedule 4 as part of the MTA State Assistance fund group.
7. A portion of Personal Income Tax receipts is transferred to the State Special Revenue School Tax Relief (STAR) Fund to be used to reimburse school districts for the STAR property tax exemptions for homeowners and payments to homeowners for the STAR Property Rebate Program. School Tax Relief payments were (\$2,149.1m) as of February 29, 2020.

EXHIBIT B

STATE OF NEW YORK
 PROPRIETARY FUNDS
 COMBINED STATEMENT OF CASH RECEIPTS, DISBURSEMENTS AND CHANGES IN FUND BALANCES
 (amounts in millions)

	ENTERPRISE			INTERNAL SERVICE			TOTAL PROPRIETARY FUNDS				YEAR OVER YEAR	
	MONTH OF	11 MOS. ENDED	MONTH OF	11 MOS. ENDED	MONTH OF	11 MOS. ENDED	MONTH OF	11 MOS. ENDED	MONTH OF	11 MOS. ENDED	\$ Increase/ (Decrease)	% Increase/ Decrease
	FEB. 2020	FEB. 29, 2020	FEB. 2020	FEB. 29, 2020	FEB. 2020	FEB. 29, 2020	FEB. 2020	FEB. 29, 2020	FEB. 2019	FEB. 28, 2019		
RECEIPTS:												
Miscellaneous Receipts	\$ 4.3	\$ 75.9	\$ 56.8	\$ 525.6	\$ 61.1	\$ 601.5	\$ 45.5	\$ 498.6			\$ 102.9	20.6%
Federal Receipts	0.9	15.6	-	-	0.9	15.6	1.2	14.2			1.4	9.9%
Unemployment Taxes	222.6	1,927.3	-	-	222.6	1,927.3	198.8	1,837.3			90.0	4.9%
Total Receipts	227.8	2,018.8	56.8	525.6	284.6	2,544.4	245.5	2,350.1			194.3	8.3%
DISBURSEMENTS:												
Departmental Operations:												
Personal Service	0.9	16.2	8.8	115.1	9.7	131.3	7.7	100.4			30.9	30.8%
Non-Personal Service	4.3	54.3	70.5	410.0	74.8	464.3	41.5	452.1			12.2	2.7%
General State Charges	0.1	1.5	4.4	52.5	4.5	54.0	1.5	69.8			(15.8)	-22.6%
Unemployment Benefits	223.0	1,943.5	-	-	223.0	1,943.5	198.8	1,851.5			92.0	5.0%
Total Disbursements	228.3	2,015.5	83.7	577.6	312.0	2,593.1	250.5	2,473.8			119.3	4.8%
Excess (Deficiency) of Receipts Over Disbursements	(0.5)	3.3	(26.9)	(52.0)	(27.4)	(48.7)	(5.0)	(123.7)			75.0	60.6%
OTHER FINANCING SOURCES (USES):												
Transfers from Other Funds	-	-	4.8	72.5	4.8	72.5	3.1	56.0			16.5	29.5%
Transfers to Other Funds	-	-	-	(4.3)	-	(4.3)	-	(11.1)			(6.8)	-61.3%
Total Other Financing Sources (Uses)	-	-	4.8	68.2	4.8	68.2	3.1	44.9			23.3	51.9%
Excess (Deficiency) of Receipts and Other Financing Sources over Disbursements and Other Financing Uses	(0.5)	3.3	(22.1)	16.2	(22.6)	19.5	(1.9)	(78.8)			98.3	124.7%
Beginning Fund Balances (Deficits)	30.4	26.6	(264.4)	(302.7)	(234.0)	(276.1)	(321.5)	(244.6)			(31.5)	-12.9%
Ending Fund Balances (Deficits)	\$ 29.9	\$ 29.9	\$ (286.5)	\$ (286.5)	\$ (256.6)	\$ (256.6)	\$ (323.4)	\$ (323.4)			\$ 66.8	20.7%

STATE OF NEW YORK

TRUST FUNDS

COMBINED STATEMENT OF CASH RECEIPTS, DISBURSEMENTS AND CHANGES IN FUND BALANCES
(amounts in millions)

EXHIBIT C

	PENSION		PRIVATE PURPOSE		TOTAL TRUST FUNDS				YEAR OVER YEAR	
	MONTH OF FEB. 2020	11 MOS. ENDED FEB. 29, 2020	MONTH OF FEB. 2020	11 MOS. ENDED FEB. 29, 2020	MONTH OF FEB. 2020	11 MOS. ENDED FEB. 29, 2020	MONTH OF FEB. 2019	11 MOS. ENDED FEB. 28, 2019	\$ Increase/ (Decrease)	% Increase/ Decrease
RECEIPTS:										
Miscellaneous Receipts	\$ 5.3	\$ 123.4	\$ 0.1	\$ 1.3	\$ 5.4	\$ 124.7	\$ 5.3	\$ 111.0	\$ 13.7	12.3%
Total Receipts	5.3	123.4	0.1	1.3	5.4	124.7	5.3	111.0	13.7	12.3%
DISBURSEMENTS:										
Departmental Operations:										
Personal Service	5.3	62.5	-	0.2	5.3	62.7	5.2	62.1	0.6	1.0%
Non-Personal Service	1.0	31.7	-	1.0	1.0	31.7	1.8	15.3	16.4	107.2%
General State Charges	3.4	36.7	-	0.1	3.4	36.8	3.3	44.2	(7.4)	-16.7%
Total Disbursements	9.7	130.9	-	0.3	9.7	131.2	10.3	121.6	9.6	7.9%
Excess (Deficiency) of Receipts Over Disbursements	(4.4)	(7.5)	0.1	1.0	(4.3)	(6.5)	(5.0)	(10.6)	4.1	38.7%
OTHER FINANCING SOURCES (USES):										
Transfers from Other Funds	-	-	-	-	-	-	-	-	-	0.0%
Transfers to Other Funds	-	-	-	-	-	-	-	-	-	0.0%
Total Other Financing Sources (Uses)	-	-	-	-	-	-	-	-	-	0.0%
Excess (Deficiency) of Receipts and Other Financing Sources over Disbursements and Other Financing Uses	(4.4)	(7.5)	0.1	1.0	(4.3)	(6.5)	(5.0)	(10.6)	4.1	38.7%
Beginning Fund Balances (Deficits)	(6.1)	(3.0)	14.1	13.2	8.0	10.2	4.3	9.9	0.3	3.0%
Ending Fund Balances (Deficits)	\$ (10.5)	\$ (10.5)	\$ 14.2	\$ 14.2	\$ 3.7	\$ 3.7	\$ (0.7)	\$ (0.7)	\$ 4.4	628.6%

EXHIBIT D

STATE OF NEW YORK
BUDGETARY BASIS - FINANCIAL PLAN AND ACTUAL
FISCAL YEAR 2019-2020
FOR ELEVEN MONTHS ENDED FEBRUARY 29, 2020
(amounts in millions)

	ALL GOVERNMENTAL FUNDS				
	Enacted Financial Plan (*)	Updated Financial Plan (**)	Actual	Actual Over/ (Under) Enacted Financial Plan	Actual Over/ (Under) Updated Financial Plan
RECEIPTS:					
Taxes:					
Personal Income	\$ 48,472.0	\$ 49,978.0	\$ 49,913.2	\$ 1,441.2	\$ (64.8)
Consumption/Use	16,719.0	16,529.0	16,558.8	(160.2)	29.8
Business	6,304.0	6,619.0	6,631.0	327.0	12.0
Other	2,097.0	2,086.0	2,076.3	(20.7)	(9.7)
Miscellaneous Receipts	25,327.0	25,321.0	25,695.8	368.8	374.8
Federal Receipts	58,818.0	59,926.0	60,603.1	1,785.1	677.1
Total Receipts	157,737.0	160,459.0	161,478.2	3,741.2	1,019.2
DISBURSEMENTS:					
Local Assistance Grants	113,787.0	114,224.0	114,012.0	225.0	(212.0)
Departmental Operations	20,065.0	19,983.0	19,903.3	(161.7)	(79.7)
General State Charges	8,341.0	8,262.0	8,189.4	(151.6)	(72.6)
Debt Service	2,317.0	2,276.0	2,276.7	(40.3)	0.7
Capital Projects	7,906.0	6,504.0	6,453.2	(1,452.8)	(50.8)
Total Disbursements	152,416.0	151,249.0	150,834.6	(1,581.4)	(414.4)
Excess (Deficiency) of Receipts over Disbursements	5,321.0	9,210.0	10,643.6	5,322.6	1,433.6
OTHER FINANCING SOURCES (USES):					
Bond and Note Proceeds, net	-	-	-	-	-
Transfers from Other Funds	37,845.0	42,151.0	39,962.1	2,117.1	(2,188.9)
Transfers to Other Funds	(37,916.0)	(42,272.0)	(40,087.6)	2,171.6	2,184.4
Total Other Financing Sources (Uses)	(71.0)	(121.0)	(125.5)	(54.5)	(4.5)
Excess (Deficiency) of Receipts and Other Financing Sources over Disbursements and Other Financing Uses	5,250.0	9,089.0	10,518.1	5,268.1	1,429.1
Fund Balances (Deficits) at April 1	9,975.0	9,975.0	9,975.0	-	-
Fund Balances (Deficits) at February 29, 2020	\$ 15,225.0	\$ 19,064.0	\$ 20,493.1	\$ 5,268.1	\$ 1,429.1

(*) Source: 2019-20 Enacted Financial Plan dated May 13, 2019.

(**) Source: 2020-21 Executive Budget with 30-day amendments dated February 24, 2020.

**STATE OF NEW YORK
BUDGETARY BASIS - FINANCIAL PLAN AND ACTUAL
FISCAL YEAR 2019-2020
FOR ELEVEN MONTHS ENDED FEBRUARY 29, 2020
(amounts in millions)**

EXHIBIT D

	STATE OPERATING FUNDS (***)			
	Enacted Financial Plan (*)	Updated Financial Plan (**)	Actual	Actual Over/ (Under) Enacted Financial Plan Updated Financial Plan
RECEIPTS:				
Taxes:				
Personal Income	\$ 48,472.0	\$ 49,978.0	\$ 49,913.2	\$ 1,441.2
Consumption/Use	16,137.0	15,947.0	15,983.9	(153.1)
Business	5,692.0	5,997.0	6,016.3	324.3
Other	1,989.0	1,979.0	1,969.1	(19.9)
Miscellaneous Receipts	19,621.0	20,518.0	20,875.5	1,254.5
Federal Receipts	40.0	31.0	65.3	25.3
Total Receipts	91,951.0	94,450.0	94,823.3	2,872.3
DISBURSEMENTS:				
Local Assistance Grants	56,748.0	57,969.0	57,563.1	815.1
Departmental Operations	18,171.0	18,113.0	18,063.8	(107.2)
General State Charges	8,040.0	7,963.0	7,881.9	(158.1)
Debt Service	2,317.0	2,276.0	2,276.7	(40.3)
Capital Projects	-	-	-	-
Total Disbursements	85,276.0	86,321.0	85,785.5	509.5
Excess (Deficiency) of Receipts over Disbursements	6,675.0	8,129.0	9,037.8	2,362.8
OTHER FINANCING SOURCES (USES):				
Transfers from Other Funds	34,897.0	38,099.0	36,382.8	1,485.8
Transfers to Other Funds	(35,581.0)	(39,624.0)	(37,770.7)	2,189.7
Total Other Financing Sources (Uses)	(684.0)	(1,525.0)	(1,387.9)	(703.9)
Excess (Deficiency) of Receipts and Other Financing Sources over Disbursements and Other Financing Uses	5,991.0	6,604.0	7,649.9	1,658.9
Fund Balances (Deficits) at April 1	12,362.0	12,362.0	12,361.3	(0.7)
Fund Balances (Deficits) at February 29, 2020	\$ 18,353.0	\$ 18,966.0	\$ 20,011.2	\$ 1,658.2

(*) Source: 2019-20 Enacted Financial Plan dated May 13, 2019.

(**) Source: 2020-21 Executive Budget with 30-day amendments dated February 24, 2020.

(***) State Operating Funds are comprised of the General Fund, State Special Revenue Funds supported by activities from dedicated revenue sources (including operating transfers from Federal Funds) and Debt Service Funds.

(****) Eliminations between Special Revenue - State and Federal Funds are not included.

EXHIBIT D

STATE OF NEW YORK
BUDGETARY BASIS - FINANCIAL PLAN AND ACTUAL
FISCAL YEAR 2019-2020
FOR ELEVEN MONTHS ENDED FEBRUARY 29, 2020
(amounts in millions)

	GENERAL FUND			
	Enacted Financial Plan (*)	Updated Financial Plan (**)	Actual	Actual Over/ (Under) Enacted Financial Plan Actual Over/ (Under) Updated Financial Plan
RECEIPTS:				
Taxes:				
Personal Income	\$ 22,065.0	\$ 22,840.0	\$ 22,807.5	\$ 742.5
Consumption/Use	7,481.0	7,370.0	7,379.7	(101.3)
Business	4,261.0	4,442.0	4,432.3	171.3
Other	1,020.0	1,040.0	1,039.2	19.2
Miscellaneous Receipts	2,485.0	2,678.0	2,800.2	315.2
Federal Receipts	-	-	0.3	0.3
Transfers From:				
PIT / ECET in excess of Revenue Bond Debt Service	21,935.0	23,383.0	22,552.2	617.2
Sales Tax in excess of LGAC / STRBF Debt Service	5,746.0	6,111.0	5,707.7	(38.3)
Real Estate Taxes in excess of CW/CA Debt Service	923.0	891.0	878.0	(45.0)
All Other	1,484.0	2,537.0	1,904.1	420.1
Total Receipts and Other Financing Sources	67,400.0	71,292.0	69,501.2	2,101.2
DISBURSEMENTS:				
Local Assistance Grants	41,421.0	42,253.0	41,704.2	283.2
Departmental Operations	10,937.0	10,625.0	10,572.5	(364.5)
General State Charges	7,086.0	7,037.0	6,981.1	(104.9)
Transfers To:				
Debt Service	586.0	554.0	525.0	(61.0)
Capital Projects	2,909.0	3,869.0	3,864.6	955.6
State Share Medicaid	-	-	292.5	292.5
SUNY Operations	1,145.0	1,170.0	1,161.5	16.5
Other Purposes	801.0	914.0	642.2	(158.8)
Total Disbursements and Other Financing Uses	64,885.0	66,422.0	65,743.6	858.6
Excess (Deficiency) of Receipts and Other Financing Sources over Disbursements and Other Financing Uses	2,515.0	4,870.0	3,757.6	1,242.6
Fund Balances (Deficits) at April 1	7,206.0	7,206.0	7,205.7	(0.3)
Fund Balances (Deficits) at February 29, 2020	\$ 9,721.0	\$ 12,076.0	\$ 10,963.3	\$ 1,242.3

(*) Source: 2019-20 Enacted Financial Plan dated May 13, 2019.

(**) Source: 2020-21 Executive Budget with 30-day amendments dated February 24, 2020.

(***) Includes transfers to the Department of Health Income Fund and the State University Income Fund representing payments for patients residing in State-Operated Health and State University facilities.

EXHIBIT D

STATE OF NEW YORK
BUDGETARY BASIS - FINANCIAL PLAN AND ACTUAL
FISCAL YEAR 2019-2020
FOR ELEVEN MONTHS ENDED FEBRUARY 29, 2020
(amounts in millions)

	SPECIAL REVENUE FUNDS					Actual Over/ (Under) Enacted Financial Plan	Actual Over/ (Under) Updated Financial Plan
	Enacted Financial Plan (*)	Updated Financial Plan (**)	Actual	Eliminations	Total		
RECEIPTS:							
Taxes:							
Personal Income	\$ 2,166.0	\$ 2,149.0	\$ 2,149.1	\$ -	\$ 2,149.1	\$ (16.9)	\$ 0.1
Consumption/Use	1,770.0	1,765.0	1,788.2	-	1,788.2	18.2	23.2
Business	1,431.0	1,555.0	1,584.0	-	1,584.0	153.0	29.0
Miscellaneous Receipts	16,905.0	17,591.0	17,833.9	-	17,833.9	928.9	242.9
Federal Receipts	56,954.0	57,876.0	58,558.1	-	58,558.1	1,604.1	682.1
Transfers from Other Funds (***)	2,260.0	2,582.0	2,628.5	(471.3)	2,157.2	(102.8)	(424.8)
Total Receipts and Other Financing Sources	81,486.0	83,518.0	84,541.8	(471.3)	84,070.5	2,584.5	552.5
DISBURSEMENTS:							
Local Assistance Grants	67,869.0	67,344.0	67,703.4	-	67,703.4	(165.6)	359.4
Departmental Operations	9,091.0	9,328.0	9,302.2	-	9,302.2	211.2	(25.8)
General State Charges	1,255.0	1,225.0	1,208.3	-	1,208.3	(46.7)	(16.7)
Capital Projects	-	-	-	-	-	-	-
Transfers to Other Funds (***)	1,939.0	2,432.0	2,584.2	(471.3)	2,112.9	173.9	(319.1)
Total Disbursements and Other Financing Uses	80,154.0	80,329.0	80,798.1	(471.3)	80,326.8	172.8	(2.2)
Excess (Deficiency) of Receipts and Other Financing Sources over Disbursements and Other Financing Uses	1,332.0	3,189.0	3,743.7	-	3,743.7	2,411.7	554.7
Fund Balances (Deficits) at April 1	3,842.0	3,842.0	3,842.4	-	3,842.4	0.4	0.4
Fund Balances (Deficits) at February 29, 2020	\$ 5,174.0	\$ 7,031.0	\$ 7,586.1	\$ -	\$ 7,586.1	\$ 2,412.1	\$ 555.1

(*) Source: 2019-20 Enacted Financial Plan dated May 13, 2019.

(**) Source: 2020-21 Executive Budget with 30-day amendments dated February 24, 2020.

(***) Actual reported transfer amounts include eliminations between Special Revenue - State and Federal Funds.

STATE OF NEW YORK
BUDGETARY BASIS - FINANCIAL PLAN AND ACTUAL
FISCAL YEAR 2019-2020
FOR ELEVEN MONTHS ENDED FEBRUARY 29, 2020
(amounts in millions)

EXHIBIT D

	STATE SPECIAL REVENUE FUNDS					FEDERAL SPECIAL REVENUE FUNDS				
	Enacted Financial Plan (*)	Updated Financial Plan (**)	Actual	Actual Over/ (Under) Enacted Financial Plan	Actual Over/ (Under) Updated Financial Plan	Enacted Financial Plan (*)	Updated Financial Plan (**)	Actual	Actual Over/ (Under) Enacted Financial Plan	Actual Over/ (Under) Updated Financial Plan
RECEIPTS:										
Taxes:										
Personal Income	\$ 2,166.0	\$ 2,149.0	\$ 2,149.1	\$ (16.9)	\$ 0.1	\$ -	\$ -	\$ -	\$ -	\$ -
Consumption/Use	1,770.0	1,765.0	1,788.2	18.2	23.2	-	-	-	-	-
Business	1,431.0	1,555.0	1,584.0	153.0	29.0	-	-	-	-	-
Miscellaneous Receipts	16,818.0	17,391.0	17,630.9	812.9	239.9	87.0	200.0	203.0	116.0	3.0
Federal Receipts	-	(9.0)	(8.8)	(8.8)	0.2	56,954.0	57,885.0	58,568.9	1,612.9	681.9
Transfers from Other Funds	2,260.0	2,562.0	2,628.5	368.5	46.5	-	-	-	-	-
Total Receipts and Other Financing Sources	24,445.0	25,433.0	25,771.9	1,326.9	338.9	57,041.0	58,085.0	58,769.9	1,728.9	684.9
DISBURSEMENTS:										
Local Assistance Grants	15,327.0	15,716.0	15,858.9	531.9	142.9	52,542.0	51,628.0	51,844.5	(697.5)	216.5
Departmental Operations	7,197.0	7,458.0	7,462.7	265.7	4.7	1,894.0	1,870.0	1,839.5	(54.5)	(30.5)
General State Charges	954.0	928.0	900.8	(53.2)	(25.2)	301.0	299.0	307.5	6.5	8.5
Capital Projects	-	-	-	-	-	-	-	-	-	-
Transfers to Other Funds	365.0	525.0	603.0	238.0	78.0	1,574.0	1,907.0	1,981.2	407.2	74.2
Total Disbursements and Other Financing Uses	23,843.0	24,625.0	24,825.4	982.4	200.4	56,311.0	55,704.0	55,972.7	(338.3)	268.7
Excess (Deficiency) of Receipts and Other Financing Sources over Disbursements and Other Financing Uses	602.0	808.0	946.5	344.5	138.5	730.0	2,381.0	2,797.2	2,067.2	416.2
Fund Balances (Deficits) at April 1	5,091.0	5,091.0	5,090.8	(0.2)	(0.2)	(1,249.0)	(1,249.0)	(1,248.4)	0.6	0.6
Fund Balances (Deficits) at February 29, 2020	\$ 5,693.0	\$ 5,899.0	\$ 6,037.3	\$ 344.3	\$ 138.3	\$ (519.0)	\$ 1,132.0	\$ 1,548.8	\$ 2,067.8	\$ 416.8

(*) Source: 2019-20 Enacted Financial Plan dated May 13, 2019.

(**) Source: 2020-21 Executive Budget with 30-day amendments dated February 24, 2020.

EXHIBIT D

STATE OF NEW YORK
BUDGETARY BASIS - FINANCIAL PLAN AND ACTUAL
FISCAL YEAR 2019-2020
FOR ELEVEN MONTHS ENDED FEBRUARY 29, 2020
(amounts in millions)

	DEBT SERVICE FUNDS				
	Enacted Financial Plan (*)	Updated Financial Plan (**)	Actual	Actual Over/ (Under) Enacted Financial Plan	Actual Over/ (Under) Updated Financial Plan
RECEIPTS:					
Taxes:					
Personal Income	\$ 24,241.0	\$ 24,989.0	\$ 24,956.6	\$ 715.6	\$ (32.4)
Consumption/Use	6,886.0	6,812.0	6,816.0	(70.0)	4.0
Other	969.0	939.0	929.9	(39.1)	(9.1)
Miscellaneous Receipts	318.0	449.0	444.4	126.4	(4.6)
Federal Receipts	40.0	40.0	73.8	33.8	33.8
Transfers from Other Funds	2,549.0	2,595.0	2,712.3	163.3	117.3
Total Receipts and Other Financing Sources	35,003.0	35,824.0	35,933.0	930.0	109.0
DISBURSEMENTS:					
Departmental Operations	37.0	30.0	28.6	(8.4)	(1.4)
Debt Service	2,317.0	2,276.0	2,276.7	(40.3)	0.7
Transfers to Other Funds	29,775.0	32,592.0	30,681.9	906.9	(1,910.1)
Total Disbursements and Other Financing Uses	32,129.0	34,898.0	32,987.2	858.2	(1,910.8)
Excess (Deficiency) of Receipts and Other Financing Sources over Disbursements and Other Financing Uses	2,874.0	926.0	2,945.8	71.8	2,019.8
Fund Balances (Deficits) at April 1	65.0	65.0	64.8	(0.2)	(0.2)
Fund Balances (Deficits) at February 29, 2020	\$ 2,939.0	\$ 991.0	\$ 3,010.6	\$ 71.6	\$ 2,019.6

(*) Source: 2019-20 Enacted Financial Plan dated May 13, 2019.

(**) Source: 2020-21 Executive Budget with 30-day amendments dated February 24, 2020.

STATE OF NEW YORK
BUDGETARY BASIS - FINANCIAL PLAN AND ACTUAL
FISCAL YEAR 2019-2020
FOR ELEVEN MONTHS ENDED FEBRUARY 29, 2020
(amounts in millions)

EXHIBIT D

CAPITAL PROJECTS FUNDS						
	Enacted Financial Plan (*)	Updated Financial Plan (**)	Actual	Eliminations	Total	Actual Over/ (Under) Enacted Financial Plan Updated Financial Plan
RECEIPTS:						
Taxes:						
Consumption/Use	\$ 582.0	\$ 582.0	\$ 574.9	\$ -	\$ 574.9	\$ (7.1)
Business	612.0	622.0	614.7	-	614.7	2.7
Other	108.0	107.0	107.2	-	107.2	(0.8)
Miscellaneous Receipts	5,619.0	4,603.0	4,617.3	-	4,617.3	(1,001.7)
Federal Receipts	1,824.0	2,010.0	1,970.9	-	1,970.9	146.9
Bond and Note Proceeds, net	-	-	-	-	-	-
Transfers from Other Funds	2,948.0	4,052.0	4,328.6	(278.0)	4,050.6	1,102.6
Total Receipts and Other Financing Sources	11,693.0	11,976.0	12,213.6	(278.0)	11,935.6	242.6
DISBURSEMENTS:						
Local Assistance Grants	4,497.0	4,627.0	4,604.4	-	4,604.4	107.4
Capital Projects	7,906.0	6,504.0	6,453.2	-	6,453.2	(1,452.8)
Transfers to Other Funds	761.0	741.0	1,085.0	(278.0)	807.0	46.0
Total Disbursements and Other Financing Uses	13,164.0	11,872.0	12,142.6	(278.0)	11,864.6	(1,299.4)
Excess (Deficiency) of Receipts and Other Financing Sources over Disbursements and Other Financing Uses	(1,471.0)	104.0	71.0	-	71.0	1,542.0
Fund Balances (Deficits) at April 1	(1,138.0)	(1,138.0)	(1,137.9)	-	(1,137.9)	0.1
Fund Balances (Deficits) at February 29, 2020	\$ (2,609.0)	\$ (1,034.0)	\$ (1,066.9)	\$ -	\$ (1,066.9)	\$ (32.9)

(*) Source: 2019-20 Enacted Financial Plan dated May 13, 2019.

(**) Source: 2020-21 Executive Budget with 30-day amendments dated February 24, 2020.

STATE OF NEW YORK
BUDGETARY BASIS - FINANCIAL PLAN AND ACTUAL
FISCAL YEAR 2019-2020
FOR ELEVEN MONTHS ENDED FEBRUARY 29, 2020
(amounts in millions)

EXHIBIT D

	STATE CAPITAL PROJECTS FUNDS				FEDERAL CAPITAL PROJECTS FUNDS					
	Enacted Financial Plan (*)	Updated Financial Plan (**)	Actual	Actual Over/ (Under) Enacted Financial Plan	Actual Over/ (Under) Updated Financial Plan	Enacted Financial Plan (*)	Updated Financial Plan (**)	Actual	Actual Over/ (Under) Enacted Financial Plan	Actual Over/ (Under) Updated Financial Plan
RECEIPTS:										
Taxes:										
Consumption/Use	\$ 582.0	\$ 582.0	\$ 574.9	\$ (7.1)	\$ (7.1)	\$ -	\$ -	\$ -	\$ -	\$ -
Business	612.0	622.0	614.7	2.7	(7.3)	-	-	-	-	-
Other	108.0	107.0	107.2	(0.8)	0.2	-	-	-	-	-
Miscellaneous Receipts	5,619.0	4,603.0	4,616.4	(1,002.6)	13.4	-	-	0.9	0.9	0.9
Federal Receipts	-	2.0	2.3	2.3	0.3	1,824.0	2,008.0	1,988.6	144.6	(39.4)
Bond and Note Proceeds, net	-	-	-	-	-	-	-	-	-	-
Transfers from Other Funds	3,249.0	4,228.0	4,328.6	1,080.6	100.6	(300.0)	(176.0)	-	300.0	176.0
Total Receipts and Other Financing Sources	10,169.0	10,144.0	10,244.1	75.1	100.1	1,524.0	1,832.0	1,969.5	445.5	137.5
DISBURSEMENTS:										
Local Assistance Grants	3,850.0	3,939.0	3,877.5	27.5	(61.5)	647.0	688.0	726.9	79.9	38.9
Capital Projects	6,874.0	5,471.0	5,426.6	(1,447.4)	(44.4)	1,032.0	1,033.0	1,026.6	(5.4)	(6.4)
Transfers to Other Funds	761.0	740.0	806.9	45.9	66.9	-	1.0	278.1	278.1	277.1
Total Disbursements and Other Financing Uses	11,485.0	10,150.0	10,111.0	(1,374.0)	(39.0)	1,679.0	1,722.0	2,031.6	352.6	309.6
Excess (Deficiency) of Receipts and Other Financing Sources over Disbursements and Other Financing Uses	(1,316.0)	(6.0)	133.1	1,449.1	139.1	(155.0)	110.0	(62.1)	92.9	(172.1)
Fund Balances (Deficits) at April 1	(633.0)	(633.0)	(633.2)	(0.2)	(0.2)	(505.0)	(505.0)	(504.7)	0.3	0.3
Fund Balances (Deficits) at February 29, 2020	(1,949.0)	(639.0)	(500.1)	1,448.9	138.9	(660.0)	(395.0)	(566.8)	93.2	(171.8)

(*) Source: 2019-20 Enacted Financial Plan dated May 13, 2019.

(**) Source: 2020-21 Executive Budget with 30-day amendments dated February 24, 2020.

**STATE OF NEW YORK
GOVERNMENTAL FUNDS (*)
STATEMENT OF CASH FLOW
FISCAL YEAR 2019-2020
(amounts in millions)**

	11 Months Ended February 29											% Increase/ Decrease
	2019 APRIL	MAY	JUNE	JULY	AUGUST	SEPTEMBER	OCTOBER	NOVEMBER	DECEMBER	2020 JANUARY	FEBRUARY	
Beginning Fund Balance	\$ 9,975.0	\$ 18,267.7	\$ 10,925.1	\$ 13,728.6	\$ 12,775.1	\$ 13,740.6	\$ 14,310.2	\$ 14,340.0	\$ 12,080.9	\$ 14,900.3	\$ 16,628.0	
RECEIPTS:												
Taxes:												
Personal Income Tax:												
Income Tax	3,207.1	3,220.1	2,920.3	3,355.9	2,933.7	2,951.1	3,270.6	2,991.9	4,054.3	5,045.6	4,698.6	1,806.8
Mortgage Interest	6,943.2	112.6	2,364.2	1,170.9	86.7	2,742.0	170.9	83.5	374.8	3,942.2	101.9	3,013.4
Estate Tax	2,298.9	75.1	54.1	48.8	45.1	65.5	664.2	42.5	24.8	25.7	83.3	782.6
Returns	(296.9)	(31.1)	(25.9)	(21.0)	(20.9)	(47.2)	(97.4)	(59.5)	(17.7)	(97.4)	(40.7)	(1,064.5)
State City Offsets	170.3	105.2	96.2	89.3	95.7	91.7	104.3	121.6	134.6	87.2	116.6	31.1
Other (Assessments/LLC)	12,240.0	3,481.9	5,443.1	3,553.6	3,152.3	5,703.1	3,634.6	3,179.9	4,575.6	8,991.1	4,927.6	5,632.5
Gross Receipts	12,240.0	3,481.9	5,443.1	3,553.6	3,152.3	5,703.1	3,634.6	3,179.9	4,575.6	8,991.1	4,927.6	5,632.5
Transfers to School Tax Relief Fund	-	-	-	-	-	-	-	-	-	-	-	-
Transfers to Revenue Bond Tax Fund	(3,025.2)	(897.3)	(235.2)	(252.0)	(243.9)	(871.7)	(1,055.2)	(710.5)	(237.6)	(91.9)	(1,230.9)	-
Refunds Issued	9,213.4	2,444.6	5,208.9	3,331.8	2,986.3	4,831.4	2,974.4	2,469.4	4,284.0	8,899.2	3,698.5	247.6
Total Personal Income Tax	9,213.4	2,444.6	5,208.9	3,331.8	2,986.3	4,831.4	2,974.4	2,469.4	4,284.0	8,899.2	3,698.5	3,384.9
Consumption Taxes:												
Sales and Use	1,201.6	1,178.8	1,599.5	1,232.2	1,243.6	1,628.2	1,288.3	1,250.6	1,598.8	1,360.9	1,118.7	842.7
Auto Rental	3.5	0.3	19.5	0.1	0.1	41.0	(7.3)	0.1	28.2	-	83.6	(25.0)
Cigarette/Tobacco Products	89.2	85.2	83.8	108.9	92.2	87.7	93.8	84.1	93.8	79.3	65.8	1,033.5
Medical Marijuana	0.5	0.4	0.5	0.5	0.4	0.5	0.4	0.5	0.6	0.5	5.3	1.7
Motor Fuel	48.0	44.2	46.1	39.2	47.9	43.2	47.3	41.5	38.9	42.4	35.7	498.6
Alcoholic Beverage	20.0	20.9	26.0	25.6	19.5	23.5	19.1	24.5	20.4	24.3	12.3	243.5
Highway Use	14.2	10.7	9.9	14.5	10.7	11.1	14.3	11.0	13.8	12.2	13.2	137.2
Vapor Excise	-	-	-	-	-	-	-	-	-	-	-	-
Other Excise	-	-	-	-	-	-	-	-	-	-	-	-
Miscellaneous	-	-	-	-	-	-	-	-	-	-	-	-
Computer Trans. Telecash Trip	-	-	-	-	-	-	-	-	-	-	-	-
Total Consumption/Use Taxes	1,375.0	1,340.5	1,775.3	1,424.9	1,414.4	1,835.2	1,405.9	1,412.3	1,783.9	1,546.8	1,244.6	702.5
Business Taxes:												
Corporation Franchise	376.7	(69.0)	901.2	146.3	-	941.3	98.8	108.9	1,030.6	153.8	(70.2)	3,273.1
Corporation and Utilities	43.0	1.2	108.5	0.4	(1.7)	141.0	2.9	(0.6)	(1.3)	0.9	414.7	418.3
Insurance	141.8	5.0	403.2	58.8	(1.5)	436.8	1.4	25.3	457.8	1.4	0.2	1,135.9
Bank	144.3	(121.1)	(21.1)	(0.2)	(1.4)	(14.3)	(0.3)	(1.4)	(41.8)	(0.4)	24.9	(5.4)
Petroleum Business	100.4	86.7	103.8	95.8	107.0	100.7	107.4	93.0	91.3	86.0	80.0	1,057.3
Total Business Taxes	807.2	(84.2)	1,496.0	297.1	103.5	1,617.3	207.4	184.8	1,717.9	251.5	35.8	6,631.0
Other Taxes:												
Real Property Gains	-	-	-	-	-	-	-	-	-	-	-	-
Estate and Gift	79.7	57.3	62.2	124.7	41.8	53.8	163.2	87.2	143.6	93.5	115.5	1,014.4
Fair-Mutual	0.9	1.1	1.6	1.2	2.2	2.1	1.0	1.1	1.0	0.7	0.9	14.4
Real Estate Transfer	82.9	86.0	98.6	130.8	90.7	97.2	86.2	99.7	86.1	94.8	84.2	1,069.2
Racing and Exhibitions	0.2	0.1	0.3	0.2	0.1	-	0.4	0.6	0.1	(0.1)	0.1	2.6
Metropolitan Commuter Trans. Mobility	-	-	-	-	-	-	-	-	-	-	-	-
Employer Compensation Expense Tax	0.1	0.1	-	0.2	0.2	0.1	0.2	0.1	0.4	0.5	(0.1)	1.8
Total Other Taxes	163.8	144.6	162.7	257.1	135.0	153.2	250.0	188.7	231.2	189.4	200.6	2,076.3
Total Taxes	11,561.4	3,885.5	8,644.5	5,307.7	4,561.4	8,438.2	4,441.7	4,255.2	8,018.0	10,886.9	5,177.8	6,858.6
Miscellaneous Receipts:												
Abandoned Property	2.0	1.2	0.9	1.2	5.6	31.0	36.2	215.9	1.1	0.9	25.5	347.8
Bottle Bill	0.2	0.3	31.2	0.3	0.1	39.1	0.3	23.2	0.3	0.6	0.1	(0.8)
Assessments:												
Business	81.0	82.0	103.1	69.2	63.2	76.8	78.7	43.3	80.3	101.7	52.2	47.5
Medical Care	625.7	523.9	509.0	571.3	518.5	544.1	531.2	472.5	529.4	578.0	536.2	5,098.9
Public Utilities	5.1	-	0.7	-	0.9	44.2	(6.0)	-	0.8	-	11.0	14.3
Fees, Licenses and Permits:	-	0.2	-	-	0.2	-	-	0.1	0.1	0.2	-	(1.0)
Alcohol Beverage Control Licensing	5.7	6.0	5.4	6.0	6.9	7.0	7.4	7.2	5.5	5.7	5.2	68.7
Audit Fees	-	0.8	-	-	0.1	0.2	-	-	-	-	2.6	0.5
Business/Professional:	60.5	60.6	131.5	65.0	46.9	132.0	80.9	71.8	108.5	88.8	43.4	818.2
Civil	28.6	18.0	22.9	22.6	17.8	34.5	20.5	22.2	33.4	16.0	29.8	12.6
Criminal	0.5	0.5	1.2	0.2	0.6	1.3	0.5	0.4	1.0	1.2	0.2	9.3
Motor Vehicle	128.2	130.8	105.7	119.9	116.3	94.6	116.5	94.4	116.0	123.4	102.3	1,396.3
Recreational/Consumer	55.4	47.2	67.3	67.5	96.4	134.3	70.7	71.4	62.5	66.0	88.5	125.3
Gifts, Penalties and Forfeitures	628.7	224.6	136.0	59.8	31.9	39.2	86.2	37.8	44.4	36.7	19.1	1,483.7
Gambling	31.4	18.8	19.7	37.7	15.3	20.0	36.8	13.3	17.6	35.7	15.2	238.7
Lottery	218.4	262.0	202.3	225.7	170.2	176.3	220.1	177.8	180.6	221.5	79.1	2,352.6
Video Lottery	78.6	88.5	63.2	89.5	76.5	77.5	94.6	72.7	70.6	98.0	70.2	874.7
Interest Earnings	44.0	38.8	44.9	39.0	39.4	35.8	36.9	34.2	27.9	27.2	32.8	95.6
Receipts from Public Authorities:												
Bond Proceeds	200.8	2.8	146.4	155.3	79.2	499.1	1,698.2	23.6	328.3	519.4	11.9	4,960.7
Cost Recovery Assessments	-	-	-	5.1	-	28.1	13.5	-	6.0	3.0	40.7	2.8
Insurance Fees	2.0	1.0	15.1	7.0	-	26.7	14.8	3.5	9.5	8.5	81.7	6.9%
Non Bond Related	4.2	4.6	4.7	13.4	-	26.7	24.9	25.3	3.0	25.4	3.1	55.6
Total Receipts	11,561.4	3,885.5	8,644.5	5,307.7	4,561.4	8,438.2	4,441.7	4,255.2	8,018.0	10,886.9	5,177.8	6,858.6
Total Taxes	11,561.4	3,885.5	8,644.5	5,307.7	4,561.4	8,438.2	4,441.7	4,255.2	8,018.0	10,886.9	5,177.8	6,858.6
Total Receipts	11,561.4	3,885.5	8,644.5	5,307.7	4,561.4	8,438.2	4,441.7	4,255.2	8,018.0	10,886.9	5,177.8	6,858.6
Total Receipts	11,561.4	3,885.5	8,644.5	5,307.7	4,561.4	8,438.2	4,441.7	4,255.2	8,018.0	10,886.9	5,177.8	6,858.6

**STATE OF NEW YORK
GOVERNMENTAL FUNDS (*)
STATEMENT OF CASH FLOW
FISCAL YEAR 2019-2020
(amounts in millions)**

	11 Months Ended February 29												\$ Increase/ (Decrease)	% Increase/ Decrease		
	2019 APRIL	MAY	JUNE	JULY	AUGUST	SEPTEMBER	OCTOBER	NOVEMBER	DECEMBER	2020 JANUARY	FEBRUARY	MARCH	2020	2019		
Receipts from Municipalities	26.4	3.2	8.6	4.4	2.6	6.1	4.6	2.3	6.0	3.4	3.5	3.5	68.1	295.2	(216.1)	-75.8%
Rentals	40.2	29.1	8.1	30.2	2.6	1.4	66.4	24.9	23.5	45.3	87.6	87.6	384.3	394.6	(30.3)	-7.7%
Revenues of State Departments:																
Administrative Recoveries	1.9	2.8	24.7	17.7	4.6	21.9	26.7	27.6	32.0	15.9	32.3	32.3	208.1	172.2	35.9	20.8%
Commissions	0.6	0.6	0.6	0.6	0.2	0.8	0.7	0.8	82.3	(66.9)	7.3	7.3	27.6	14.8	12.8	86.5%
Commissions - Asset Conversion	-	-	-	-	-	-	-	-	-	-	-	-	488.0	488.0	1,089.0	-56.2%
Gifts, Grants and Donations	10.9	1.5	3.1	0.9	0.9	0.3	3.7	2.0	3.1	0.9	14.9	14.9	42.2	112.8	(70.6)	-62.6%
Indirect Cost Recoveries	5.6	5.2	8.7	8.3	7.2	5.8	7.0	6.2	6.6	9.9	8.4	8.4	78.9	87.1	(8.2)	-9.4%
Paternal/Client Care Reimbursement	239.4	189.7	194.9	240.9	209.3	264.5	208.1	183.5	247.1	135.4	340.6	340.6	2,460.7	2,506.2	(45.5)	-1.8%
Rebates	12.3	11.5	14.7	22.1	11.7	12.1	17.1	14.5	11.5	13.3	12.2	12.2	153.6	148.8	4.8	3.2%
Restitution and Settlements	7.8	1.7	1.4	1.1	6.1	0.6	3.0	3.9	12.2	25.6	0.9	0.9	64.3	194.6	(130.3)	-87.0%
Student Loans	7.5	3.1	8.5	7.5	1.7	10.9	2.3	2.2	10.8	10.9	3.8	3.8	83.9	(23.1)	-27.5%	-27.5%
All Other	52.9	56.0	47.1	57.8	56.7	82.5	60.8	44.2	45.7	60.1	88.9	88.9	633.7	510.2	122.5	24.0%
Sales	5.2	0.8	1.2	2.7	1.4	2.5	1.1	1.7	1.7	1.5	1.5	1.5	21.1	25.0	(3.9)	-15.6%
Tuition	52.0	48.1	34.9	45.0	24.0	39.9	13.5	37.5	14.1	261.8	352.6	352.6	1,533.4	1,691.8	(158.4)	-9.4%
Total Miscellaneous Receipts	2,659.7	1,971.3	1,968.6	1,954.4	1,934.4	2,761.9	3,394.3	1,737.2	2,143.4	2,945.7	2,065.7	2,065.7	25,958.8	27,673.4	(1,917.6)	-7.1%
Federal Receipts	6,242.0	4,959.2	5,803.8	3,275.4	6,092.3	5,663.8	5,708.8	5,384.3	6,805.6	5,728.8	5,138.9	5,138.9	60,603.1	56,661.9	3,941.2	7.0%
Total Receipts	20,463.1	10,716.0	16,416.8	10,554.7	12,478.1	18,863.9	13,744.8	11,388.8	16,767.2	19,561.4	12,522.4	12,522.4	161,478.2	152,656.0	8,822.2	5.8%
DISBURSEMENTS:																
Local Assistance Grants:																
Education	1,263.9	4,574.0	2,811.5	1,910.2	925.1	5,084.1	1,451.3	2,138.2	2,784.8	3,365.8	1,244.9	1,244.9	27,553.8	27,243.3	310.5	1.1%
Environment and Recreation	25.4	33.7	2.7	14.9	14.4	18.9	15.6	12.2	14.2	23.3	15.8	15.8	401.1	391.3	9.8	2.5%
General Government	60.3	159.7	734.4	65.0	87.5	132.4	163.7	72.1	384.8	87.9	81.2	81.2	2,027.0	1,960.9	36.1	1.8%
Public Health:																
Other Public Health	6,412.0	6,151.7	4,867.9	4,905.7	5,506.5	5,060.5	5,679.8	5,947.1	4,886.3	6,153.4	5,117.9	5,117.9	80,788.8	57,107.6	3,981.2	6.4%
Public Safety	724.4	692.4	1,162.1	802.3	782.4	954.2	803.0	591.2	1,049.0	825.6	701.3	701.3	9,077.9	9,278.5	(200.6)	-2.2%
Public Welfare	156.9	178.2	70.6	87.9	98.6	103.7	168.4	217.2	133.1	239.2	202.9	202.9	1,489.3	1,489.3	189.4	12.9%
Public Welfare	240.1	215.8	537.8	452.8	374.1	706.5	1,491.0	1,057.6	247.2	672.8	487.1	487.1	6,482.8	6,559.4	(75.6)	-1.2%
Support and Regulate Business	34.1	164.8	204.6	67.8	67.7	74.4	60.8	66.7	121.6	36.4	132.1	132.1	1,031.0	1,151.4	(120.4)	-10.5%
Transportation	305.0	477.1	354.8	335.4	438.0	659.1	394.1	540.4	1,027.2	120.7	189.3	189.3	4,955.9	5,416.7	(460.8)	-8.5%
Total Local Assistance Grants	9,222.1	12,837.4	10,736.2	8,640.0	8,295.3	12,973.8	10,186.7	10,842.7	10,758.2	11,735.1	8,172.5	8,172.5	114,070.0	110,807.4	3,404.6	3.1%
Departmental Operations:																
Personal Service	1,139.8	1,177.6	1,127.7	1,191.0	1,253.3	1,115.1	1,400.2	1,129.8	1,145.1	1,241.7	1,119.3	1,119.3	13,620.6	13,332.9	387.7	2.9%
Non-Personal Service	474.1	578.3	515.9	519.5	578.2	593.0	647.4	514.4	524.7	683.3	655.9	655.9	6,282.7	6,135.7	147.0	2.4%
General State Charges	813.6	2,460.6	464.6	489.0	543.0	572.7	665.9	565.7	539.3	566.5	508.5	508.5	8,188.4	8,072.3	117.1	1.5%
Debt Service, Including Payments on																
Financing Agreements	72.4	121.1	230.3	46.1	74.5	433.2	48.5	74.9	412.2	44.6	719.9	719.9	2,276.7	2,498.0	(221.3)	-8.9%
Capital Projects	434.1	529.1	536.5	600.7	750.3	592.6	710.7	705.0	577.0	551.8	476.4	476.4	6,453.2	6,419.5	33.6	0.5%
Total Disbursements	12,156.1	18,041.1	13,601.2	11,485.3	11,494.6	16,270.4	13,711.4	13,632.5	13,956.5	14,822.0	11,652.5	11,652.5	150,534.6	146,965.9	3,988.7	2.6%
Excess (Deficiency) of Receipts over Disbursements	8,307.0	(7,325.1)	2,815.6	(940.6)	983.5	563.5	33.4	(2,245.7)	2,810.7	4,738.4	889.9	889.9	10,643.6	5,690.1	4,953.5	87.1%
OTHER FINANCING SOURCES (USES):																
Bond Proceeds (net)	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	0.0%
Transfers from Other Funds	6,203.6	2,681.3	4,836.5	3,268.8	2,912.1	4,741.3	1,641.5	2,363.8	4,008.5	4,989.2	2,332.5	2,332.5	39,862.1	33,447.7	6,514.4	19.5%
Transfers to Other Funds	(6,217.9)	(2,698.8)	(4,854.6)	(3,281.7)	(2,930.1)	(4,765.2)	(1,645.1)	(2,367.2)	(4,009.8)	(4,979.9)	(2,337.3)	(2,337.3)	(40,087.6)	(33,465.2)	6,592.4	19.7%
Total Other Financing Sources (Uses)	(14.3)	(17.5)	(18.1)	(12.9)	(18.0)	(23.9)	(3.6)	(3.4)	(1.3)	(10.7)	(4.9)	(4.9)	(125.5)	(47.5)	(78.0)	-164.2%
Excess (Deficiency) of Receipts and Other Financing Sources over Disbursements and Other Financing Uses	8,292.7	(7,342.6)	2,803.5	(953.5)	965.5	569.6	29.8	(2,249.1)	2,809.4	4,727.7	885.1	885.1	10,518.1	5,642.6	4,875.5	86.4%
Ending Fund Balance	\$ 18,267.7	\$ 10,925.1	\$ 13,728.6	\$ 12,775.1	\$ 13,740.6	\$ 14,310.2	\$ 14,340.0	\$ 12,090.9	\$ 14,900.3	\$ 19,628.0	\$ 20,493.1	\$ 20,493.1	\$ 20,493.1	\$ 18,391.6	\$ 2,101.5	114.4%

(*) Governmental Funds includes General, Special Revenue, Debt Service and Capital Projects Funds combined.

160

19

Interest Earnings
Receipts from Public Authorities:

STATE OF NEW YORK
GOVERNMENTAL FUNDS
STATEMENT OF CASH FLOW - STATE OPERATING (*)
FISCAL YEAR 2019-2020
(amounts in millions)

	2019	MAY	JUNE	JULY	AUGUST	SEPTEMBER	OCTOBER	NOVEMBER	DECEMBER	2020	JANUARY	FEBRUARY	MARCH	2020	2019	11 Months Ended February 20	% Increase (\$ Increase) (Decrease)	% Increase Decrease
Bond Proceeds	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	0.0%	-
Cost Recovery Assessments	2.0	1.0	15.1	7.0	5.1	28.1	13.5	-	6.0	-	(12.2)	3.0	-	43.5	40.7	2.8	6.9%	-
Issuance Fees	0.7	4.7	4.3	13.5	-	-	4.5	3.5	9.5	-	29.8	-	-	83.5	91.7	(8.2)	-8.9%	-
Non Bond Related	28.1	3.2	6.3	4.4	2.3	28.7	4.5	-	2.6	-	23.1	2.2	-	82.3	76.1	6.2	8.1%	-
Receipts from Municipalities	39.3	28.3	8.6	29.6	1.0	0.7	65.7	24.1	5.9	-	48.2	2.8	-	65.3	284.0	(218.7)	-77.0%	-
Revenues of State Departments:	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Administrative Recoveries	1.9	2.8	24.7	17.7	4.6	21.9	28.7	27.6	23.0	-	15.9	32.3	-	208.1	172.2	35.9	20.8%	-
Commissions	0.6	0.6	0.6	0.6	0.2	0.8	0.7	0.8	82.3	-	(68.9)	7.3	-	27.6	12.8	14.8	86.5%	-
Commissions - Asset Conversion	-	-	-	-	-	-	-	-	-	-	468.0	-	-	468.0	1,088.0	(600.0)	-56.2%	-
Gifts, Grants and Donations	0.8	1.0	2.8	0.3	-	-	0.3	-	0.3	-	0.5	0.7	-	7.6	107.2	(99.6)	-92.9%	-
Indirect Cost Recoveries	8.5	5.2	8.7	8.3	7.2	5.8	7.0	8.2	8.6	-	13.9	8.4	-	79.3	87.1	(7.8)	-8.4%	-
Patient/Client Care Reimbursement	234.4	194.9	198.1	200.8	208.3	264.5	208.1	163.5	247.1	135.4	340.6	340.6	-	2,460.7	2,508.2	(47.5)	-1.9%	-
Rebates	4.6	2.7	6.1	13.4	3.6	3.8	9.6	6.4	3.2	5.3	4.0	5.3	-	62.7	53.9	8.8	16.3%	-
Restitution and Settlements	7.6	1.2	1.0	0.5	5.9	0.5	0.5	0.5	3.2	-	52.2	0.8	-	52.2	186.6	(133.4)	-71.9%	-
Student Loans	7.5	3.1	8.5	7.5	2.2	1.7	10.9	2.3	10.8	-	2.5	3.8	-	60.8	83.9	(23.1)	-27.5%	-
Unemployment Insurance	48.0	48.0	48.0	48.0	48.0	48.0	48.0	48.0	48.0	-	48.0	48.0	-	48.0	48.0	-	0.0%	-
All Other	1.0	0.8	1.2	2.7	1.7	2.5	0.8	3.5	1.4	-	1.4	1.3	-	16.2	22.4	(6.2)	-27.7%	-
Sales	52.0	48.1	34.9	279.4	240.0	305.9	137.5	153.4	14.1	261.8	352.6	9.4	-	1,631.8	(158.4)	(1,790.2)	-9.4%	-
Tuition	2,340.8	1,727.0	1,706.2	1,709.4	1,632.2	2,168.8	1,878.8	1,589.4	1,727.6	2,313.6	2,313.6	2,081.7	-	20,875.5	21,593.6	(718.1)	-3.3%	-
Total Miscellaneous Receipts	2,340.8	1,727.0	1,706.2	1,709.4	1,632.2	2,168.8	1,878.8	1,589.4	1,727.6	2,313.6	2,313.6	2,081.7	-	20,875.5	21,593.6	(718.1)	-3.3%	-
Federal Receipts	-	-	(0.9)	1.7	53.6	0.3	0.1	0.2	-	(25.3)	35.6	7,201.1	-	65.3	72.4	(7.1)	-9.8%	-
Total Receipts	13,785.5	5,511.1	10,211.7	6,912.4	6,126.7	10,456.7	6,204.0	5,736.7	9,611.7	13,062.7	13,062.7	7,201.1	-	94,823.3	88,078.7	6,744.6	6.9%	-
DISBURSEMENTS:																		
Local Assistance Grants:																		
Education	917.2	3,980.2	2,539.1	1,611.6	680.8	4,854.3	1,230.2	1,980.8	2,433.9	-	3,045.9	893.8	-	24,167.7	23,736.7	431.0	1.8%	-
Environment and Recreation	0.2	0.1	0.6	(0.1)	0.3	1.0	0.7	0.3	0.7	-	0.7	2.3	-	6.8	7.0	(0.2)	-2.9%	-
General Government	27.1	34.4	576.7	22.4	58.0	71.2	33.2	51.1	232.4	-	30.8	53.2	-	1,190.5	1,075.3	115.2	10.7%	-
Public Health:																		
Public Health	3,265.5	2,470.5	1,759.2	1,693.0	1,759.5	1,915.9	2,120.2	2,341.5	1,734.4	-	2,345.7	1,686.7	-	23,232.0	20,978.8	2,255.2	10.8%	-
Other Public Health	210.3	153.0	400.7	261.2	276.9	267.2	277.2	243.1	382.9	-	223.6	162.0	-	2,788.1	2,855.0	(166.9)	-5.3%	-
Public Safety	30.7	27.8	28.6	28.0	23.0	41.8	28.5	22.5	34.2	-	(19.9)	66.8	-	313.0	313.0	0.0	0.0%	-
Public Welfare	88.7	85.7	181.0	128.9	180.7	170.0	424.8	460.9	119.2	-	171.1	197.4	-	2,038.4	2,038.4	0.0	0.0%	-
Support and Regulate Business	7.1	14.4	7.0	27.8	24.5	11.7	21.0	21.0	19.0	-	4.7	30.6	-	190.2	197.5	(7.3)	-3.7%	-
Transportation	68.3	428.6	279.4	274.3	388.4	527.1	279.8	498.9	739.5	-	62.5	102.5	-	3,447.3	3,766.6	(319.3)	-8.5%	-
Total Local Assistance Grants	4,645.1	7,192.7	5,812.5	4,251.1	3,402.1	7,660.1	4,417.0	5,430.1	5,096.2	-	5,763.1	3,283.3	-	37,563.1	55,113.7	(17,550.6)	-31.3%	-
Departmental Operations:																		
Personal Service	1,060.5	1,651.8	1,072.6	1,146.7	1,205.6	1,064.2	1,364.4	1,093.1	1,092.2	-	1,193.1	1,095.5	-	13,032.7	12,645.9	386.8	3.1%	-
Non-Personal Service	404.0	500.0	419.5	437.9	472.7	406.6	514.3	398.2	540.4	-	504.9	504.9	-	4,914.2	4,914.2	-	0.0%	-
General State Charges	792.2	2,436.5	420.6	463.4	518.5	548.2	638.9	539.5	513.8	-	529.8	478.5	-	7,881.9	7,678.9	203.0	2.6%	-
Debt Service, Including Payments on	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Financing Agreements	72.4	121.1	230.3	45.1	74.5	433.2	48.5	74.9	412.2	-	44.6	718.9	-	2,276.7	2,498.0	(221.3)	-8.9%	-
Capital Projects	-	-	0.1	-	(0.1)	-	-	-	-	-	-	-	-	-	-	-	0.0%	-
Total Disbursements	7,004.2	11,902.1	7,955.4	6,350.2	5,673.3	10,112.3	6,884.1	7,559.2	8,113.6	8,073.0	8,073.0	6,038.1	-	85,785.5	82,850.7	2,934.8	3.5%	-
Excess (Deficiency) of Receipts over Disbursements	6,781.3	(6,391.0)	2,256.3	562.2	453.4	344.4	(780.1)	(1,822.5)	1,498.1	4,989.7	4,989.7	1,143.0	-	9,037.8	5,828.0	3,209.8	55.1%	-
OTHER FINANCING SOURCES (USES):																		
Transfers from Other Funds (*)	5,706.6	2,417.0	4,298.6	3,019.8	2,505.3	4,021.1	2,373.2	1,893.8	3,514.4	-	4,658.8	1,894.2	-	38,382.8	31,675.1	6,707.7	14.9%	-
Transfers to Other Funds (*)	(6,134.0)	(2,500.7)	(4,748.7)	(3,125.9)	(2,729.4)	(4,467.3)	(1,458.6)	(2,236.4)	(3,984.3)	-	(4,662.9)	(2,125.1)	-	(37,770.7)	(31,609.4)	6,161.3	19.5%	-
Total Other Financing Sources (Uses)	(427.4)	(83.7)	(450.1)	(105.9)	(224.1)	(446.2)	918.6	(332.6)	(69.9)	(3.9)	(3.9)	(140.9)	-	(1,387.9)	65.7	(1,453.6)	-2,123.5%	-
Excess (Deficiency) of Receipts and Other Financing Sources over Disbursements and Other Financing Uses	6,353.9	(6,474.7)	1,806.2	456.4	229.3	(101.8)	136.5	(2,175.1)	1,428.2	4,985.9	4,985.9	1,002.1	-	7,649.9	5,893.7	1,756.2	29.8%	-
Ending Fund Balance	\$ 18,718.2	\$ 12,243.5	\$ 14,049.7	\$ 14,506.1	\$ 14,735.4	\$ 14,633.6	\$ 14,770.1	\$ 12,595.0	\$ 14,023.2	\$ 19,006.1	\$ 19,006.1	\$ 20,011.2	\$ -	\$ 20,011.2	\$ 19,500.3	\$ 510.9	2.6%	-

(*) State Operating Funds are comprised of the General Fund, State Special Revenue Funds supported by activities from federal revenue sources (including operating transfers from Federal funds) and Debt Service Funds.
(**) Eliminations between State and Federal Special Revenue Funds are not included.

STATE OF NEW YORK
GENERAL FUND
STATEMENT OF CASH FLOW
FISCAL YEAR 2019-2020
(amounts in millions)

EXHIBIT F

	11 Months Ended February 29												% Increase/ Decrease
	2019 APRIL	MAY	JUNE	JULY	AUGUST	SEPTEMBER	OCTOBER	NOVEMBER	DECEMBER	2020 JANUARY	FEBRUARY	MARCH	
Beginning Fund Balance	\$ 7,205.7	\$ 11,988.7	\$ 5,221.6	\$ 6,593.0	\$ 6,614.3	\$ 6,886.4	\$ 9,049.8	\$ 8,815.2	\$ 6,571.4	\$ 8,179.7	\$ 10,818.0		
RECEIPTS:													
Taxes:													
Personal Income Tax:													
Withholdings	3,237.1	3,220.1	2,922.3	3,365.8	2,933.7	2,851.1	3,270.6	2,981.8	4,054.3	5,045.6	4,686.6	1,806.8	4.9%
Estimated Payments	6,843.2	112.6	2,396.4	118.7	98.7	2,742.0	170.9	93.5	379.8	3,942.2	101.8	3,013.4	21.7%
Returns	2,286.9	75.1	45.1	40.8	45.1	65.5	584.2	42.5	24.6	63.3	25.7	762.6	30.2%
State/City Offsets	(286.9)	(31.1)	(25.9)	(21.0)	(20.9)	(47.2)	(475.4)	(58.5)	(17.7)	(9.6)	(40.7)	(18.6)	-1.7%
Other (Assessments/LC)	170.3	105.2	99.2	83.3	95.7	91.7	104.3	121.6	134.6	87.2	116.6	31.1	2.6%
Gross Receipts	12,200.6	3,481.8	5,433.1	3,593.6	3,193.3	5,763.1	3,670.6	3,136.3	4,378.8	8,872.1	4,927.6	5,823.5	10.0%
Transfers:													
Transfers to Revenue Relief Fund	(4,607.7)	(1,242.3)	(2,604.9)	(1,665.8)	(1,454.3)	(2,415.7)	(1,289.2)	(1,230.5)	(2,105.5)	(4,498.6)	(1,848.4)	(2,692.5)	12.1%
Transfers to Revenue Bond Tax Fund	(3,025.2)	(897.3)	(233.2)	(282.0)	(243.8)	(871.7)	(1,056.2)	(1,210.5)	(287.8)	(910.2)	(1,230.8)	(8,762.0)	2.8%
Refunds Issued	(7,632.9)	(2,139.6)	(2,838.1)	(1,947.8)	(1,698.1)	(3,287.4)	(2,339.4)	(2,441.0)	(2,393.3)	(5,408.8)	(3,079.2)	(11,454.5)	12.1%
Total Personal Income Tax	4,607.7	1,242.3	2,605.0	1,665.8	1,454.2	2,415.7	1,289.2	1,230.5	2,105.5	2,342.2	1,848.4	2,692.5	14.9%
Consumption/Use Taxes:													
Sales and Use	539.3	551.4	743.5	579.8	581.8	761.9	579.0	594.5	742.1	635.5	522.4	644.9	5.9%
Auto Rental	-	-	25.8	31.4	28.3	28.3	28.3	26.3	27.3	24.0	20.5	282.7	0.0%
Cigarette/Tobacco Products	28.0	25.8	-	-	-	-	-	-	-	-	-	-	0.0%
Alcoholic Beverage	20.0	20.9	26.0	25.6	19.5	23.5	19.1	24.5	20.4	34.6	12.3	243.5	1.2%
Highway Use	-	-	-	-	-	-	-	-	-	-	-	-	0.0%
Vapor Excise	-	-	-	-	-	-	-	-	-	-	-	-	0.0%
Opium Excise	-	-	-	-	-	-	-	-	-	-	-	-	0.0%
Metropolitan Commuter Trans. Taxicab Trip	-	-	-	-	-	-	-	-	-	-	-	-	0.0%
Total Consumption/Use Taxes	585.3	588.1	796.0	636.8	626.6	813.7	626.4	635.3	783.9	711.0	557.7	6,990.3	5.9%
Business Taxes:													
Corporate Franchise	274.1	(75.0)	726.8	109.4	(21.4)	791.3	71.5	69.7	855.7	122.7	(122.7)	2,573.2	8.9%
Corporation and Utilities	16.3	1.8	84.1	0.2	(0.8)	105.5	2.0	(1.9)	87.1	(1.0)	0.7	302.1	-2.7%
Insurance	127.4	(3.6)	354.7	50.9	2.3	387.8	2.7	25.6	395.1	2.3	0.8	1,007.1	33.8%
Bank	125.4	(104.7)	(21.5)	(0.3)	(0.2)	(1.0)	(2.9)	(36.6)	13.9	(0.5)	19.6	(41.5)	78.8%
Petroleum Business	-	-	-	-	-	-	-	-	-	-	-	-	0.0%
Total Business Taxes	543.2	(181.5)	1,433.1	160.2	(20.1)	1,283.6	73.3	56.8	1,351.3	123.5	(101.6)	3,840.9	15.4%
Other Taxes:													
Real Property Gains	79.7	57.3	62.2	124.7	41.8	53.8	163.2	87.2	143.6	93.5	115.5	1,014.4	0.0%
Estate and Gift	0.9	1.1	1.6	1.2	2.1	2.1	1.0	1.1	1.0	0.7	0.9	14.4	0.8%
Pan-Mutuel	-	-	-	-	-	-	-	-	-	-	-	-	-4.2%
Real Estate Transfer	-	-	-	-	-	-	-	-	-	-	-	-	0.0%
Racing and Exhibitions	-	-	-	-	-	-	-	-	-	-	-	-	-23.1%
Metropolitan Commuter Trans. Mobility	-	-	-	-	-	-	-	-	-	-	-	-	0.0%
Employer Compensation Expense Tax	0.1	-	0.1	0.1	0.1	0.1	0.1	0.1	0.2	0.2	-	-	100.0%
Total Other Taxes	80.9	58.5	64.1	126.2	44.2	55.9	164.7	88.9	144.9	94.3	116.5	1,031.4	0.9%
Total Taxes	5,817.1	1,717.4	4,608.2	2,589.0	2,107.9	4,565.9	2,153.4	2,012.8	4,392.0	3,271.0	2,421.0	31,716.8	12.4%
Miscellaneous Receipts:													
Abandoned Property	0.9	0.1	-	0.3	4.8	30.2	35.0	215.0	23.2	-	24.0	337.5	-8.1%
Bottle Bill	0.2	0.3	8.2	0.3	0.1	39.1	0.3	0.3	-	0.6	0.1	73.5	-1.1%
Assessments:													
Business:	-	-	-	-	-	-	-	-	-	-	-	-	0.0%
Medical Care	-	4.2	4.3	3.8	2.6	1.9	2.5	3.4	7.0	4.5	3.7	42.6	-11.0%
Public Utilities	-	-	-	-	-	-	-	-	-	-	-	-	0.0%
Other	-	0.1	-	-	-	-	-	0.1	-	0.1	0.1	0.7	-14.3%
Fees:													
Alcohol Beverage Control Licensing	5.7	6.0	5.4	6.0	6.9	7.0	7.4	7.2	5.5	5.7	5.2	68.7	-1.0%
Audit Fees	-	-	-	-	-	-	-	-	-	-	-	-	0.0%
Business/Professional	11.1	18.1	28.8	15.0	3.4	35.1	30.3	16.2	30.8	41.4	4.7	181.5	0.0%
Civil	25.0	13.4	17.8	18.4	15.1	28.7	15.7	17.1	28.1	11.5	24.7	202.4	5.5%
Criminal	0.2	0.1	0.1	0.2	0.1	0.1	0.1	0.1	0.2	0.1	0.2	1.9	0.0%
Motor Vehicle	33.2	34.9	11.6	35.5	24.4	24.2	33.8	10.1	40.8	28.4	1.6	281.4	12.9%
Insurance	1.8	1.8	1.8	1.8	1.8	1.8	1.8	1.8	1.8	1.8	1.8	1.8	12.9%
Fines, Penalties and Forfeitures	618.1	154.6	26.5	43.9	19.7	26.7	72.0	24.2	24.6	28.3	14.1	1,308.8	-19.3%
Interest Earnings	21.8	16.8	19.8	13.1	13.9	12.8	14.0	12.6	11.0	9.5	13.2	46.0	40.9%
Receipts from Public Authorities:													
Cost Recovery Assessments	-	-	-	-	5.1	5.0	7.9	-	2.1	20.3	0.4	0.2	1.0%
Insurance Fees	-	-	10.9	7.0	-	0.8	14.8	3.5	9.5	29.8	-	76.3	-8.7%
Non Bond Related	0.1	-	-	-	-	-	0.1	-	-	25.2	-	24.2	4.1%
Receipts from Municipalities	16.7	-	-	-	-	25.0	0.1	-	-	16.8	-	183.4	30.8%
Receipts from State Departments:													
Administrative Recoveries	0.3	0.1	0.2	0.3	-	0.2	0.1	(0.4)	0.7	0.1	0.3	3.0	-42.5%
Commissions	0.5	1.0	20.1	0.1	0.3	18.2	0.5	0.3	16.1	0.1	0.1	55.4	1.9
Gifts, Grants and Donations	0.1	0.2	-	0.2	(0.2)	-	-	0.1	-	0.5	-	-	100.0%
Indirect Cost Recoveries	5.6	5.2	8.7	8.3	7.2	5.8	7.0	6.2	6.6	9.9	0.2	0.2	-100.0%
Patient/Client Cost Reimbursement	(7.3)	2.7	5.7	(70.7)	59.9	5.6	(16.8)	2.7	7.9	(102.6)	79.8	(87.0)	-8.3%
Retables	(0.6)	1.7	(0.6)	(0.2)	2.5	-	-	2.6	(0.8)	(0.1)	2.0	1.3	392.3%

EXHIBIT F

STATE OF NEW YORK
GENERAL FUND
STATEMENT OF CASH FLOW
FISCAL YEAR 2019-2020
(amounts in millions)

	2019 APRIL	MAY	JUNE	JULY	AUGUST	SEPTEMBER	OCTOBER	NOVEMBER	DECEMBER	2020 JANUARY	FEBRUARY	MARCH	11 Months Ended February 29			% Increase/ Decrease
													2020	2019	\$ Increase/ (Decrease)	
Restitution and Settlements	-	-	0.2	-	-	0.1	0.1	0.2	5.3	0.1	-	-	6.0	111.0	(105.0)	-84.6%
Student Loans	8.1	18.3	(11.6)	4.1	0.6	-	-	-	-	-	-	-	76.6	49.4	27.2	0.0%
All Other	-	-	-	-	-	-	19.5	7.5	-	8.3	4.8	-	-	-	-	55.1%
Sales	741.0	279.3	158.8	87.4	183.1	278.7	245.8	336.5	227.2	77.0	206.4	-	2,800.2	3,183.6	(383.6)	-12.0%
Total Miscellaneous Receipts	-	-	-	-	-	-	-	-	-	-	-	-	0.3	0.1	0.2	200.0%
Federal Receipts	6,583.1	1,996.7	4,767.0	2,676.4	2,276.1	4,847.8	2,399.3	2,343.4	4,619.2	3,347.8	2,627.4	-	38,459.2	34,900.7	3,558.5	10.2%
DISBURSEMENTS:																
Local Assistance Grants:																
Education	917.0	3,979.7	2,189.8	1,611.4	679.3	2,342.9	1,082.3	1,741.4	2,250.1	791.0	836.7	-	18,421.6	18,229.8	191.8	1.1%
Environment and Recreation	0.1	0.1	0.1	-	0.2	0.8	0.7	0.1	0.2	0.2	0.3	-	2.8	2.9	(0.1)	-3.4%
General Government	1.7	15.7	574.9	2.2	45.5	48.3	19.1	30.9	205.3	10.4	19.0	-	973.0	940.6	32.4	3.4%
Public Health:																
Medicaid	3,296.6	1,988.6	1,393.9	1,320.2	1,073.3	1,308.3	1,650.5	1,933.4	1,300.1	1,692.0	1,194.5	-	17,721.4	15,685.9	2,035.5	13.0%
Other Public Health	130.2	120.3	336.0	217.7	111.8	213.0	220.9	101.5	282.6	119.8	106.8	-	1,980.6	2,126.1	(145.5)	-6.8%
Public Safety	13.4	13.4	13.4	13.4	13.4	13.4	13.4	13.4	13.4	13.4	13.4	-	13.4	13.4	0.0	0.0%
Public Welfare	87.9	84.9	189.5	128.5	170.8	170.7	424.2	459.7	119.8	171.5	197.3	-	2,204.6	2,091.5	113.1	5.4%
Support and Regulate Business	6.0	7.7	5.7	22.0	7.3	20.9	20.9	7.1	13.0	3.5	22.1	-	136.4	134.8	1.6	1.3%
Transportation	-	23.9	14.1	0.2	23.9	(0.1)	-	24.1	11.4	-	12.5	-	110.0	303.5	(193.5)	-63.8%
Total Local Assistance Grants	4,470.0	5,834.3	4,707.5	3,320.6	2,147.8	4,116.0	3,431.0	4,306.4	4,204.1	2,764.6	2,399.9	-	41,704.2	38,676.5	2,027.6	5.1%
Departmental Operations:																
Personal Service	688.8	1,071.8	679.0	687.3	853.2	676.0	805.2	694.6	684.2	794.0	664.0	-	6,298.1	8,063.3	(1,765.2)	-21.9%
Non-Personal Service	159.0	249.2	216.9	200.9	211.3	169.9	255.5	147.6	178.9	233.6	237.7	-	2,274.4	2,372.6	(98.2)	-4.1%
General State Charges	730.2	2,249.3	358.9	384.6	422.8	471.0	373.4	408.6	466.1	441.4	415.0	-	6,861.1	6,727.9	133.2	1.9%
Total Disbursements	6,046.0	9,304.6	5,970.3	4,603.6	3,634.9	5,457.9	5,066.1	5,550.4	5,475.8	4,739.6	3,708.6	-	59,257.8	56,840.4	2,417.4	4.3%
Excess (Deficiency) of Receipts over Disbursements	512.1	(7,307.9)	(1,203.3)	(1,927.2)	(1,358.8)	(610.1)	(2,666.8)	(3,207.0)	(856.6)	(891.8)	(1,081.2)	-	(20,798.6)	(21,939.7)	1,141.1	5.2%
OTHER FINANCING SOURCES (USES):																
Transfers from Revenue Bond Tax Fund	4,607.3	1,126.2	2,066.0	1,658.3	1,476.3	2,682.8	1,288.8	960.3	2,147.3	2,950.3	1,048.6	-	22,552.2	19,459.2	3,093.0	15.9%
Transfers from LGAC / STREITF	452.0	302.7	835.6	501.5	490.2	747.8	483.9	494.1	654.2	572.4	163.3	-	5,707.7	5,117.5	590.2	11.5%
Transfers from CWCA Fund	70.3	187.4	185.4	144.3	181.1	187.1	89.6	83.1	159.6	156.2	362.7	-	6,778.0	6,782.2	(4.2)	0.0%
Transfers from Capital Projects	46.0	10.0	10.0	24.0	19.1	90.1	8.0	24.0	15.0	57.2	15.0	-	1,352.2	1,352.2	0.0	0.0%
Transfers to State Capital Projects	(248.8)	(406.3)	(393.8)	(201.8)	(402.8)	(586.6)	812.1	(394.2)	(286.0)	(208.6)	(310.0)	-	(2,627.1)	(916.3)	(1,710.8)	-186.7%
Transfers to All Other Capital Projects	(250.0)	-	(216.5)	(50.0)	(70.0)	(116.5)	(100.0)	(68.0)	(186.5)	(100.0)	(50.0)	-	(1,244.5)	(1,244.5)	0.0	0.0%
Transfers to General Debt Service	(134.7)	(10.7)	(17.0)	(132.1)	16.6	28.2	(129.9)	20.2	(5.2)	(213.4)	29.0	-	(525.0)	(767.8)	(242.8)	-31.6%
Transfers to All Other State Funds	(284.5)	(447.3)	(467.6)	(190.1)	(71.9)	(132.9)	(85.5)	(169.4)	(63.1)	(69.1)	(84.7)	-	(2,086.2)	(1,731.9)	(354.3)	-21.0%
Total Other Financing Sources (Uses)	4,250.9	760.8	2,574.7	1,948.5	1,630.9	2,773.5	2,432.2	963.2	2,464.9	3,530.1	1,226.5	-	24,556.2	22,176.0	2,380.2	10.7%
Excess (Deficiency) of Receipts and Other Financing Sources over Disbursements and Other Financing Uses	4,763.0	(6,541.1)	1,371.4	21.3	272.1	2,163.4	(234.6)	(2,243.8)	1,608.3	2,638.3	145.3	-	3,757.6	236.3	3,521.3	1,490.2%
Ending Fund Balance	\$ 11,983.7	\$ 5,221.6	\$ 6,593.0	\$ 6,614.3	\$ 6,886.4	\$ 9,048.8	\$ 8,315.2	\$ 6,571.4	\$ 8,179.7	\$ 10,818.0	\$ 10,963.3	\$ -	\$ 10,963.3	\$ 9,681.3	\$ 1,282.0	13.2%

STATE OF NEW YORK
SPECIAL REVENUE FUNDS - COMBINED
STATEMENT OF CASH FLOW
FISCAL YEAR 2019-2020
(amounts in millions)

EXHIBIT G

RECEIPTS:	11 Months Ended February 29												% Increase/ (Decrease)	% Increase/ (Decrease)			
	2019																
	APRIL	MAY	JUNE	JULY	AUGUST	SEPTEMBER	OCTOBER	NOVEMBER	DECEMBER	JANUARY	FEBRUARY	MARCH					
Beginning Fund Balance	\$ 3,842.4	\$ 7,002.4	\$ 6,288.9	\$ 7,986.6	\$ 6,880.6	\$ 7,461.3	\$ 6,241.5	\$ 5,886.6	\$ 5,599.5	\$ 6,862.8	\$ 7,175.4	\$ -	\$ -	\$ 4,302.1	\$ 4,302.1	\$ (499.7)	-10.7%
Personal Income Tax	-	-	-	-	-	-	0.2	3.0	38.5	2,107.4	-	-	-	2,148.1	2,410.0	(260.9)	-10.8%
Consumption/Use Taxes:																	
Sales and Use	124.1	76.4	102.8	79.1	80.3	104.8	81.0	82.1	102.9	90.4	74.1	-	-	988.0	921.8	76.2	8.3%
Auto Rental	-	-	-	-	-	7.3	-	-	5.6	-	-	-	-	12.9	40.7	(27.8)	-43.3%
Cigarette/Tobacco Products	63.2	59.4	57.3	75.4	63.9	58.4	65.5	67.8	68.9	55.3	45.3	-	-	679.5	728.6	(49.1)	-6.8%
Medicinal Marijuana	0.5	0.4	0.5	0.4	0.4	0.5	0.4	0.5	0.5	0.5	0.5	-	-	6.9	1.1	(5.8)	-47.2%
Motor Fuel	9.8	9.4	9.5	8.8	10.1	9.1	10.0	8.6	8.5	8.9	7.6	-	-	100.1	102.3	(2.2)	-2.2%
Alcoholic Beverage	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	0.0%
Highway Use	-	0.1	0.1	-	-	0.1	-	0.1	-	-	0.1	-	-	-	(1.6)	2.1	131.3%
Vapor Excise	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	50.9	100%
Miscellaneous Receipts:																	
Abandoned Property	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	(50.9)	-100%
Assessments:																	
Medical Care	70.9	72.7	94.4	52.0	54.6	68.5	70.4	35.3	72.7	93.4	43.8	-	-	988.0	689.9	117.4	16.8%
Public Utilities	625.7	519.7	504.7	567.5	515.9	542.2	528.7	469.1	522.4	573.5	531.5	-	-	5,800.9	5,696.3	104.6	1.8%
Other	5.1	0.1	0.7	-	0.1	0.1	-	(0.0)	0.1	0.1	-	-	-	0.4	1.3	3.4	119.3%
Fees, Licenses and Permits:																	
Business/Professional	-	0.9	1.5	-	0.1	0.2	-	-	-	-	-	-	-	2.6	0.5	199.7	14.4%
Civil	48.6	36.9	98.0	47.5	32.8	95.6	49.4	53.6	77.1	46.8	36.4	-	-	622.7	605.3	17.4	2.9%
Criminal	3.6	4.6	5.1	4.2	2.7	7.8	4.8	5.1	5.3	4.5	5.1	-	-	528	51.3	1.5	2.9%
Motor Vehicle	0.3	0.4	1.1	-	0.4	1.2	0.4	0.3	0.8	1.1	-	-	-	6.0	7.7	(1.7)	-22.1%
Vehicle License	26.0	26.6	26.7	23.5	26.3	28.0	25.3	25.8	22.9	35.1	22.7	-	-	274.9	461.6	(186.7)	-40.4%
Recreational/Consumer	54.0	45.6	65.9	65.4	65.9	94.0	56.6	71.1	64.7	67.7	48.3	-	-	985.0	126.1	18.1	18.1%
Fines, Penalties and Forfeitures	8.3	68.0	107.2	5.2	10.5	8.2	14.3	8.5	18.5	6.8	4.5	-	-	260.0	135.5	124.5	89.4%
Gaming:																	
Casino	31.4	18.8	19.7	37.7	15.3	20.0	36.8	13.3	17.6	35.7	15.2	-	-	281.5	236.7	24.8	10.5%
Lottery	218.4	262.0	202.3	225.7	170.2	175.3	220.1	177.9	180.0	221.5	170.2	-	-	2,224.5	2,352.6	(128.1)	-5.4%
Amusement	18.5	18.5	18.5	18.5	18.5	18.5	18.5	18.5	18.5	18.5	18.5	-	-	887.8	874.7	13.1	1.5%
Interest Earnings	20.9	21.0	23.8	21.7	24.0	21.8	21.9	20.5	16.1	16.9	17.8	-	-	177.3	173.3	4.0	2.7%
Receipts from Public Authorities:																	
Bond Proceeds	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	0.0%
Cost Recovery Assessments	-	-	-	-	-	23.1	5.6	-	3.9	(12.2)	2.6	-	-	23.0	20.4	2.6	12.7%
Insurance Fees	2.0	1.0	4.2	13.5	-	1.7	4.4	-	2.6	23.1	2.2	-	-	7.2	7.2	0.0%	0.0%
Non Bond Related	0.6	4.7	4.3	3.6	2.3	5.9	3.9	1.8	5.9	2.1	5.1	-	-	45.6	97.7	(52.1)	-53.3%
Receipts from Municipalities	38.0	28.2	8.4	29.3	0.9	0.5	65.5	65.5	22.4	48.1	87.1	-	-	353.9	377.1	(23.2)	-6.2%
Revenues of State Departments:																	
State Department of Taxation and Finance	1.4	1.8	4.6	17.6	4.3	3.7	26.2	27.3	15.9	15.8	32.2	-	-	150.8	116.8	34.0	29.1%
Commissions - Asset Conversion	0.5	0.4	0.6	0.4	0.4	0.8	0.7	0.7	82.3	(67.4)	7.3	-	-	26.7	14.8	11.9	80.4%
Gifts, Grants and Donations	0.8	1.0	2.8	0.3	0.6	-	0.3	0.3	0.3	0.5	0.7	-	-	46.3	107.0	(60.7)	-42.9%
Indirect Cost Recoveries	0.9	155.2	15.9	22.3	105.2	243.2	193.8	155.9	197.7	200.2	230.2	-	-	2,054.9	1,971.6	83.3	4.2%
Rebates	12.9	9.7	15.2	22.3	9.2	12.1	17.7	11.9	12.4	13.4	14.7	-	-	134.0	147.1	(13.1)	-9.5%
Restitution and Settlements	7.6	1.2	0.8	1.0	5.9	0.4	0.4	3.4	0.4	24.3	0.8	-	-	4.4	3.8	0.6	16.1%
Student Loans	7.5	3.1	8.5	7.5	1.7	10.9	2.3	2.2	10.8	2.5	3.8	-	-	60.8	83.9	(23.1)	-28.5%
All Other	41.2	36.9	57.6	39.2	43.9	67.5	36.8	33.5	35.9	45.1	48.0	-	-	445.7	445.7	0.0	0.0%
Sales	0.8	0.8	1.5	2.5	1.7	2.5	0.8	1.5	1.3	1.5	1.3	-	-	16.3	22.2	(5.9)	-26.6%
Tuition	62.0	48.1	34.9	45.0	240.0	305.9	137.5	37.5	261.8	352.8	1,533.4	-	-	1,691.8	1,691.8	(0.0)	-0.4%
Total Miscellaneous Receipts	1,571.9	1,462.6	1,521.3	1,444.1	1,444.1	1,885.7	1,614.4	1,252.8	1,482.6	2,271.4	1,861.3	-	-	17,833.9	18,217.0	(383.1)	-2.1%
Federal Receipts	6,203.7	4,815.3	5,671.6	3,118.1	5,973.4	5,494.0	5,367.9	5,209.9	5,447.1	5,393.0	4,953.1	-	-	58,558.1	54,448.8	4,109.3	7.5%
Total Receipts	8,177.4	6,466.2	7,656.3	4,912.1	7,335.8	7,825.8	7,213.2	6,980.5	8,441.6	9,930.0	7,064.4	-	-	81,913.3	78,306.5	3,606.8	4.6%

STATE OF NEW YORK
SPECIAL REVENUE FUNDS - COMBINED
STATEMENT OF CASH FLOW
FISCAL YEAR 2019-2020
(amounts in millions)

EXHIBIT G

	2019												11 Months Ended February 29		% Increase/ Decrease
	APRIL	MAY	JUNE	JULY	AUGUST	SEPTEMBER	OCTOBER	NOVEMBER	DECEMBER	JANUARY	FEBRUARY	MARCH	2020	2019	
DISBURSEMENTS:															
Local Assistance Grants:															
Education	337.7	591.1	611.4	288.1	233.8	2,988.8	354.6	378.6	508.9	2,554.9	404.8	-	8,963.6	8,975.2	1.0%
Health and Recreation	97.2	10.1	10.5	21.4	6.2	25.0	16.2	22.6	38.9	22.2	36.3	-	184.5	184.5	-0.0%
General Government	27.4	22.2	10.5	21.4	24.2	25.0	16.2	22.6	38.9	22.2	36.3	-	266.9	266.9	37.2%
Public Health:															
Medicaid	3,115.4	4,568.1	3,484.0	3,585.5	4,433.2	3,752.2	4,029.3	4,013.7	3,686.2	4,481.4	3,823.4	-	43,067.4	41,421.7	4.0%
Other Public Health	543.4	520.5	805.5	588.6	652.9	721.0	509.6	455.4	721.8	617.4	580.2	-	6,816.3	6,827.5	-0.1%
Public Welfare	152.3	120.0	271.2	318.4	185.2	483.0	1,063.4	514.8	114.3	402.4	278.1	-	3,910.1	4,307.3	-11.2%
Support and Regulate Business	1.4	7.9	1.5	6.6	5.7	5.2	1.9	15.8	6.0	1.1	8.7	-	61.8	70.8	-12.7%
Transportation	77.3	408.5	268.7	278.1	595.0	330.5	284.0	479.5	734.6	70.9	96.3	-	3,363.4	3,513.4	-3.4%
Total Local Assistance Grants	4,380.4	6,395.3	5,453.1	5,073.9	5,980.6	8,093.1	6,415.1	6,072.8	5,931.8	5,383.1	5,497.2	-	67,703.4	66,981.3	1.1%
Departmental Operations:															
Personal Service	451.0	645.8	448.7	493.7	400.1	439.1	635.0	445.2	460.9	447.7	455.3	-	5,322.5	5,169.6	3.0%
Non-Personal Service	314.4	324.8	294.4	310.0	360.1	402.6	390.3	364.6	344.4	449.5	424.6	-	3,793.7	3,733.3	6.6%
General State Charges	85.4	111.3	88.7	114.2	120.4	95.7	92.5	155.9	130.6	119.1	93.5	-	1,208.3	1,344.4	-10.1%
Capital Projects	-	-	0.1	-	(0.1)	-	-	-	-	-	-	-	-	-	0.0%
Total Disbursements	5,237.2	7,480.2	6,326.0	5,993.8	6,871.1	9,000.5	7,532.9	7,038.5	6,867.7	9,365.4	6,470.6	-	78,213.9	76,608.6	2.1%
Excess (Deficiency) of Receipts over Disbursements	2,940.2	(1,014.9)	1,339.3	(1,081.7)	654.7	(1,204.7)	(319.7)	(348.0)	1,573.9	564.6	593.8	-	3,698.4	1,897.9	117.9%
OTHER FINANCING SOURCES (USES):															
Transfers from Other Funds	306.3	585.3	566.5	215.4	160.2	168.6	119.5	185.7	111.9	84.1	123.0	-	2,157.2	1,799.2	19.9%
Transfers to Other Funds	(88.5)	(304.8)	(179.1)	(239.7)	(344.2)	(183.7)	(174.7)	(104.8)	(422.5)	(336.1)	(306.1)	-	(2,112.9)	(1,701.5)	24.2%
Total Other Financing Sources (Uses)	218.8	280.5	387.4	(24.3)	(84.0)	(15.1)	(55.2)	80.9	(310.6)	(252.0)	(183.1)	-	44.3	97.4	-54.5%
Excess (Deficiency) of Receipts and Other Financing Sources over Disbursements and Other Financing Uses	3,160.0	(735.9)	1,717.7	(1,106.0)	580.7	(1,219.8)	(374.9)	(267.1)	1,263.3	312.6	410.7	-	3,743.7	1,795.3	108.5%
Ending Fund Balance	\$ 7,002.4	\$ 6,265.9	\$ 7,986.6	\$ 6,880.6	\$ 7,461.3	\$ 6,241.5	\$ 5,866.6	\$ 5,599.5	\$ 6,862.8	\$ 7,175.4	\$ 7,586.1	\$ -	\$ 7,586.1	\$ 6,097.4	24.4%

(1) Intra-Fund transfer eliminations represent transfers between Special Revenue-State and Federal Funds.

STATE OF NEW YORK
SPECIAL REVENUE FUNDS - STATE
STATEMENT OF CASH FLOW
FISCAL YEAR 2019-2020
(amounts in millions)

EXHIBIT G

	11 Months Ended February 29												% Increase/ Decrease	27.0%
	2019	2020	2019	2020	2019	2020	2019	2020	2019	2020	2019	2020		
Beginning Fund Balance	\$ 5,090.8	\$ 6,434.7	\$ 6,338.1	\$ 7,092.2	\$ 7,277.1	\$ 7,104.7	\$ 5,276.8	\$ 5,350.5	\$ 5,091.3	\$ 4,858.4	\$ 5,609.6	\$ 5,090.8	\$ 1,082.3	
RECEIPTS:														
Taxes:														
Personal Income Tax	-	-	-	-	-	-	0.2	3.0	38.5	2,107.4	-	2,148.1	(260.9)	-10.8%
Consumption/Use Taxes:														
Sales and Use	124.1	76.4	102.8	79.1	80.3	104.8	81.0	82.1	102.9	90.4	74.1	998.0	921.8	8.3%
Auto Rental	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Cigarette/Tobacco Products	63.2	59.4	57.3	63.9	63.9	59.4	65.5	57.8	68.9	55.3	40.7	671.4	728.3	-7.8%
Medical Marijuana	0.5	0.4	0.5	0.5	0.5	0.5	0.5	0.5	0.5	0.5	0.5	100.1	102.3	2.2%
Alcoholic Beverage	9.6	9.4	9.3	9.8	10.1	9.8	10.0	9.8	9.5	9.9	0.1	0.5	0.5	0.0%
Highway Use	-	-	-	-	-	-	-	0.1	-	-	0.1	0.5	(1.6)	131.3%
Vapor Excise	-	-	-	-	-	-	-	-	-	-	-	-	-	0.0%
Metropolitan Commuter Trans. Taxicab Tip	-	-	-	-	-	-	-	-	-	-	-	-	-	-100.0%
Total Consumption/Use Taxes	197.4	145.7	170.2	163.8	154.7	181.2	156.9	148.1	185.5	155.1	117.8	1,785.2	1,845.9	-3.1%
Business Taxes	102.6	6.0	175.4	38.9	21.4	150.0	27.3	38.2	174.9	31.1	50.5	817.3	608.9	16.8%
Corporate Franchise	23.4	(0.5)	23.5	(0.9)	(0.9)	32.4	(0.3)	1.2	29.6	(0.3)	0.2	105.6	108.6	3.8%
Contribution and Utilities	14.4	8.8	48.5	5.9	(3.8)	49.0	(0.3)	62.7	(0.3)	62.7	(0.6)	182.2	128.8	41.5%
Insurance	19.9	(16.4)	0.4	0.1	(0.1)	(0.4)	(0.2)	(3.4)	(0.1)	5.3	35.0	471.5	(17.6)	119.3%
Bank	44.1	43.9	45.4	41.3	47.0	43.9	47.2	40.8	39.8	43.1	92.4	1,468.1	1,364.3	0.7%
Petroleum Business	204.4	41.8	293.2	84.4	63.6	274.9	73.8	75.7	306.9	73.1	92.4	5,521.3	5,840.7	-14.4%
Total Business Taxes	401.8	187.3	463.4	248.2	218.3	456.1	230.9	227.8	531.9	2,335.6	220.0	1,584.0	1,364.3	-2.1%
Total Taxes	509.0	643.7	638.1	709.2	727.1	710.4	527.7	535.3	539.4	4,858.4	5,609.6	5,090.8	4,858.4	
Miscellaneous Receipts:														
Abandoned Property	1.1	1.1	0.9	0.8	0.8	0.8	1.2	0.9	1.1	0.9	1.5	11.2	10.3	8.7%
Assessments:														
Business	66.4	33.9	84.2	48.2	43.9	88.3	68.1	28.8	72.6	91.8	38.3	655.2	612.7	6.9%
Medical Care	625.7	519.7	504.7	567.5	515.6	542.2	528.7	488.1	522.4	573.5	531.5	5,909.9	5,566.3	5.0%
Police	5.1	0.7	0.7	-	0.1	44.2	(3.0)	(0.0)	0.1	0.1	-	0.4	0.3	95.0%
Other	-	-	-	-	-	-	-	-	-	-	-	-	-	-69.2%
Fees, Licenses and Permits:														
Audit Fees	-	0.8	1.5	-	0.1	0.2	-	-	-	-	-	2.6	2.1	0.5
Business/Professional	48.6	36.9	98.0	47.5	32.8	95.6	48.4	53.6	77.1	46.8	5.1	622.7	605.3	2.9%
Civil	3.6	4.6	5.1	4.2	2.7	7.8	4.8	5.1	5.3	4.5	5.1	52.8	51.3	1.5
Criminal	0.3	0.4	1.1	0.8	0.4	1.2	0.4	0.3	0.8	0.8	0.1	27.0	26.7	1.1%
Motor Vehicle	1.0	2.0	2.1	2.5	2.6	2.5	2.6	2.5	2.5	2.5	2.7	26.5	26.5	0.0%
Rentals	54.0	26.9	65.4	69.9	94.0	129.2	56.6	71.1	80.7	49.3	123.1	898.0	898.0	0.0%
Fines, Penalties and Forfeitures	7.6	67.2	106.7	4.8	9.8	7.8	13.9	8.1	18.1	6.4	4.1	254.5	148.4	73.8%
Gaming:														
Casino	31.4	18.8	19.7	37.7	15.3	20.0	36.8	13.3	17.6	35.7	15.2	281.5	238.7	10.5%
Lottery	218.4	262.0	202.3	225.7	170.2	176.3	220.1	177.8	180.0	221.5	177.8	2,224.5	2,352.6	-5.4%
Video Lottery	76.6	88.5	63.2	89.5	78.5	77.5	94.8	72.7	70.6	99.0	79.1	887.8	874.7	1.3%
Interest Earnings	19.4	18.2	21.5	19.7	20.9	19.2	19.8	17.6	14.0	14.6	13.9	166.8	161.1	3.7%
Rentals from Public Authorities:														
Bond Proceeds	-	-	-	-	-	-	-	-	-	-	-	-	-	0.0%
Cost Recovery Assessments	-	-	-	-	-	23.1	5.6	-	3.9	(12.2)	2.6	23.0	20.4	12.7%
Insurance Fees	2.0	1.0	4.2	-	-	-	-	-	-	-	-	7.2	7.2	0.0%
Non Bond Related	0.6	4.7	4.3	13.5	-	1.7	4.4	-	2.6	23.1	2.2	57.1	51.9	5.2%
Receipts from Municipalities	9.4	2.7	6.3	3.6	2.3	5.9	3.9	1.8	22.4	48.1	87.1	353.9	377.1	-5.3%
Rentals	38.0	28.2	8.4	28.3	0.8	0.5	65.5	24.5	55.9	48.1	87.1	353.9	377.1	-6.2%
Revenues of State Departments:														
Commissions	1.4	1.8	4.6	17.6	4.3	3.7	26.2	27.3	15.9	15.8	32.2	150.8	118.8	28.1%
Commissions - Asset Conversion	0.5	0.4	0.6	0.4	0.4	0.8	0.7	0.7	82.3	(87.4)	7.3	26.7	14.8	80.4%
Gifts, Grants and Donations	-	-	2.8	0.3	0.6	-	0.3	0.3	0.3	0.5	0.7	468.0	1,068.0	-56.2%
Indirect Cost Recoveries	0.9	1.0	-	-	-	-	-	-	-	-	-	0.9	0.1	800.0%
Patent/Client Care Reimbursement	204.3	156.2	154.9	222.3	108.2	243.2	193.8	155.9	187.7	200.2	230.2	2,054.9	1,971.6	4.2%
Rebates	5.2	1.0	6.7	13.6	1.1	3.8	9.6	3.8	4.1	5.4	2.0	56.3	72.6	-23.0%
Rentals and Settlements	7.5	3.1	8.5	7.5	1.7	10.9	2.3	2.2	10.8	2.5	3.8	89.9	89.9	0.0%
Student Loans	40.9	36.9	57.4	39.2	43.7	67.5	36.7	32.3	33.1	44.9	59.8	492.4	442.5	11.3%
All Other	0.9	0.8	1.5	2.5	1.7	2.5	0.8	1.5	1.3	1.4	1.3	16.2	16.2	-26.7%
Sales	52.0	48.1	34.9	45.0	24.0	399.9	137.5	37.5	14.1	261.8	352.6	1,691.8	1,691.8	-9.4%
Tuition	1,557.2	1,411.2	1,509.6	1,534.9	1,421.4	1,874.2	1,601.4	1,233.7	1,438.9	2,198.8	1,842.6	17,530.9	18,075.9	-2.2%
Total Miscellaneous Receipts	1,959.0	1,588.5	1,972.1	1,780.2	1,658.0	2,330.4	1,832.3	1,461.6	1,980.8	4,307.7	2,062.8	23,143.4	23,665.3	-2.2%
Total Receipts	5,090.8	6,434.7	6,338.1	7,092.2	7,277.1	7,104.7	5,276.8	5,350.5	5,091.3	4,858.4	5,609.6	5,090.8	4,858.4	

STATE OF NEW YORK
SPECIAL REVENUE FUNDS - STATE
STATEMENT OF CASH FLOW
FISCAL YEAR 2019-2020
(amounts in millions)

EXHIBIT G

	2019 APRIL	MAY	JUNE	JULY	AUGUST	SEPTEMBER	OCTOBER	NOVEMBER	DECEMBER	2020 JANUARY	FEBRUARY	MARCH	2020	2019	\$ Increase/ (Decrease)	% Increase/ Decrease
DISBURSEMENTS:																
Local Assistance Grants:																
Education	0.2	0.5	349.3	0.2	1.5	2,511.4	147.9	149.4	183.8	2,254.8	147.1		5,746.1	5,508.9	236.2	4.3%
Environment and Recreation	0.1	-	0.6	(0.1)	0.1	0.2	-	0.2	0.5	0.5	2.0		4.0	4.1	(0.1)	-2.4%
General Government	25.4	18.7	18	20.2	12.5	22.9	14.1	20.2	27.1	20.4	34.2		217.5	134.7	82.8	61.5%
Public Health:																
Health Services	(1.1)	881.9	385.3	592.8	886.2	607.5	469.7	408.1	434.3	593.7	492.2		5,510.6	5,298.9	211.7	4.2%
Other Public Health	60.1	32.7	104.7	43.5	185.1	54.2	56.3	41.6	100.3	103.8	55.2		828.9	828.9	(0.0)	0.0%
Public Safety	20.1	14.4	16.1	9.5	20.1	17.0	12.3	12.3	12.4	(26.0)	56.1		166.3	141.3	27.0	19.1%
Public Welfare	0.9	0.8	0.5	0.5	0.9	(0.7)	0.4	1.2	(0.4)	(0.4)	0.1		3.8	4.3	(0.5)	-11.6%
Support and Regulate Business	1.1	6.7	1.3	5.8	3.4	4.4	1.5	13.9	6.0	1.2	8.5		53.8	62.9	(9.1)	-14.5%
Transportation	68.3	402.7	265.3	274.1	364.5	327.2	278.8	474.8	728.1	67.5	89.0		3,337.3	3,463.1	(125.8)	-3.6%
Total Local Assistance Grants	175.1	1,388.3	1,104.8	938.5	1,254.3	3,544.1	986.0	1,171.7	1,492.1	3,000.5	885.4	-	15,855.9	15,437.1	418.8	2.7%
Dapkin Capital Operations:																
Personal Services	401.7	580.0	303.6	449.4	352.4	388.2	559.2	398.5	408.0	399.1	404.5		4,734.6	4,582.6	152.0	3.3%
Non-Personal Service	244.3	248.5	188.0	228.4	254.6	216.2	257.2	281.8	218.9	306.6	273.6		2,728.1	2,511.8	216.3	8.6%
General State Charges	64.0	87.2	55.7	78.6	95.9	71.2	66.5	129.7	105.1	82.4	64.5		900.8	951.0	(50.2)	-5.3%
Capital Projects	-	-	0.1	-	(0.1)	-	-	-	-	-	-		-	-	-	0.0%
Total Disbursements	885.1	2,274.1	1,752.2	1,692.9	1,957.1	4,219.7	1,886.9	1,931.7	2,224.1	3,788.6	1,628.0	-	24,222.4	23,482.5	739.9	3.2%
Excess (Deficiency) of Receipts over Disbursements	1,073.9	(675.6)	219.9	87.3	(298.1)	(1,389.3)	(36.6)	(470.1)	(243.3)	719.1	434.8	-	(1,075.0)	182.8	(1,261.8)	-690.3%
OTHER FINANCING SOURCES (USES):																
Transfers from Other Funds	308.3	585.3	566.5	215.4	160.2	188.6	119.5	185.7	111.9	84.1	123.0		2,828.5	2,283.9	544.6	15.1%
Transfers to Other Funds	(38.3)	(6.3)	(28.3)	(120.8)	(33.5)	(107.2)	(9.2)	(4.8)	(71.5)	(52.0)	(130.1)		(605.0)	(560.0)	(45.0)	-67.5%
Total Other Financing Sources (Uses)	270.0	579.0	537.2	94.6	126.7	81.4	110.3	180.9	40.4	32.1	(7.1)	-	2,023.5	1,923.9	101.6	5.3%
Excess (Deficiency) of Receipts and Other Financing Sources over Disbursements and Other Financing Uses	1,343.9	(96.6)	757.1	181.9	(172.4)	(1,827.9)	73.7	(289.2)	(202.9)	751.2	427.7	-	945.5	2,106.7	(1,160.2)	-55.1%
Ending Fund Balance	\$ 6,434.7	\$ 6,338.1	\$ 7,095.2	\$ 7,277.1	\$ 7,104.7	\$ 5,276.8	\$ 5,350.5	\$ 5,061.3	\$ 4,858.4	\$ 5,099.6	\$ 6,037.3	\$ -	\$ 6,037.3	\$ 6,115.2	\$ (77.9)	-1.3%

EXHIBIT G

STATE OF NEW YORK
SPECIAL REVENUE FUNDS - FEDERAL
STATEMENT OF CASH FLOW
FISCAL YEAR 2019-2020
(amounts in millions)

	11 Months Ended February 29												% Increase/ Decrease
	2010 APRIL	MAY	JUNE	JULY	AUGUST	SEPTEMBER	OCTOBER	NOVEMBER	DECEMBER	2020 JANUARY	FEBRUARY	MARCH	
Beginning Fund Balance	\$ (1,248.4)	\$ 567.7	\$ (60.2)	\$ 891.4	\$ (396.5)	\$ 356.6	\$ 964.7	\$ 516.1	\$ 538.2	\$ 2,004.4	\$ 1,565.8	-	
RECEIPTS:													
Miscellaneous Receipts:													
Abandoned Property:	-	-	-	-	-	-	-	-	-	-	-	-	0.0%
Assessments:	4.5	39.1	0.2	2.8	10.7	0.2	2.3	6.5	0.1	1.6	5.5	-	5.0%
Business:	-	-	-	-	-	-	-	-	-	-	-	-	0.0%
Medical Care:	-	-	-	-	-	-	-	-	-	-	-	-	0.0%
Public Utilities:	-	-	-	-	-	-	-	-	-	-	-	-	0.0%
Others:	-	-	-	-	-	-	-	-	-	-	-	-	0.0%
Fees, Licenses and Permits:	-	-	-	-	-	-	-	-	-	-	-	-	0.0%
Business/Professional:	-	-	-	-	-	-	-	-	-	-	-	-	0.0%
Civil:	-	-	-	-	-	-	-	-	-	-	-	-	0.0%
Criminal:	-	-	-	-	-	-	-	-	-	-	-	-	0.0%
Motor Vehicle:	-	-	-	-	-	-	-	-	-	-	-	-	0.0%
Recreational/Consumer:	-	-	-	-	-	-	-	-	-	-	-	-	0.0%
Fines, Penalties and Forfeitures:	0.7	0.8	0.5	0.4	0.7	0.4	0.4	0.4	0.4	0.4	0.4	-	0.0%
Interest Earnings and Forfeitures:	1.5	2.8	2.3	2.0	3.1	2.6	2.1	2.9	2.1	2.3	3.9	-	-22.5%
Receipts from Public Authorities:	-	-	-	-	-	-	-	-	-	-	-	-	70.4%
Cost Recovery:	-	-	-	-	-	-	-	-	-	-	-	-	0.0%
Cost Recovery Assessments:	-	-	-	-	-	-	-	-	-	-	-	-	0.0%
Insurance Fees:	-	-	-	-	-	-	-	-	-	-	-	-	0.0%
Non Bond Related:	-	-	-	-	-	-	-	-	-	-	-	-	0.0%
Receipts from Municipalities:	-	-	-	-	-	-	-	-	-	-	-	-	0.0%
Rentals:	-	-	-	-	-	-	-	-	-	-	-	-	0.0%
Revenues of State Departments:	-	-	-	-	-	-	-	-	-	-	-	-	0.0%
Administrative Recoveries:	-	-	-	-	-	-	-	-	-	-	-	-	0.0%
Commissions:	-	-	-	-	-	-	-	-	-	-	-	-	0.0%
Gifts, Grants and Donations:	-	-	-	-	-	-	-	-	-	-	-	-	0.0%
Interest Income:	-	-	-	-	-	-	-	-	-	-	-	-	0.0%
Investment Income:	-	-	-	-	-	-	-	-	-	-	-	-	0.0%
Patient/Care Reimbursement:	-	-	-	-	-	-	-	-	-	-	-	-	0.0%
Rebates:	7.7	8.7	8.5	8.7	8.1	8.3	8.1	8.1	8.3	8.0	8.2	-	-4.0%
Restitution and Settlements:	-	-	-	-	-	-	-	-	-	-	-	-	0.0%
Student Loans:	-	-	-	-	-	-	-	-	-	-	-	-	0.0%
All Other:	0.3	-	0.2	-	0.1	-	0.1	1.2	2.8	0.2	0.7	-	75.0%
Sales:	-	-	-	-	-	-	-	-	-	-	-	-	0.0%
Tuition:	-	-	-	-	-	-	-	-	-	-	-	-	0.0%
Total Miscellaneous Receipts	14.7	51.4	11.7	13.9	22.7	11.5	13.0	18.1	13.7	12.6	18.7	11.9	6.2%
Federal Receipts	6,203.7	4,916.3	5,672.5	3,118.0	5,855.1	5,483.9	5,367.9	5,209.8	6,447.1	5,409.7	4,982.9	4,118.8	7.6%
Total Receipts	6,218.4	4,967.7	5,684.2	3,131.9	5,877.8	5,495.4	5,380.9	5,228.9	6,460.8	5,422.3	5,001.6	4,128.7	7.6%

STATE OF NEW YORK
SPECIAL REVENUE FUNDS - FEDERAL
STATEMENT OF CASH FLOW
FISCAL YEAR 2019-2020
(amounts in millions)

EXHIBIT G

	2019 APRIL	MAY	JUNE	JULY	AUGUST	SEPTEMBER	OCTOBER	NOVEMBER	DECEMBER	2020 JANUARY	FEBRUARY	MARCH	11 Months Ended February 29			% Increase/ Decrease
													2020	2019	\$ Increase/ (Decrease)	
DISBURSEMENTS:																
Local Assistance Grants:																
Education	337.5	590.6	262.1	287.9	232.3	187.4	206.7	229.2	326.0	300.1	257.7	-	3,217.5	3,368.3	(150.8)	-4.5%
Environment and Recreation	0.1	0.1	-	-	0.1	0.3	0.1	-	0.2	-	0.2	-	1.1	2.3	(1.2)	-52.2%
General Government	2.0	3.5	8.7	1.2	11.7	2.1	2.1	2.4	11.8	1.8	2.1	-	48.4	59.8	(11.4)	-17.4%
Public Health:																
Medicaid	3,116.5	3,681.2	3,068.7	3,002.7	3,747.0	3,144.7	3,559.6	3,605.6	3,281.9	3,907.7	3,431.2	-	37,556.8	36,130.8	1,426.0	3.9%
Other Public Health	483.3	487.8	700.8	485.1	487.8	666.8	453.3	413.8	621.5	513.6	505.0	-	5,768.8	5,988.6	(219.8)	-3.3%
Public Safety	116.2	150.5	42.7	59.8	66.3	49.9	136.7	173.9	97.1	214.3	135.1	-	1,236.5	1,103.2	133.3	13.4%
Social Services	150.4	119.2	270.7	319.8	165.3	48.8	1,063.0	513.0	114.7	40.1	275.2	-	3,906.3	4,153.5	(247.2)	-6.0%
Statewide Economic Development	4.0	5.8	4.2	0.0	2.3	0.8	4.2	4.7	6.5	8.4	6.3	-	59.1	50.3	8.8	17.5%
Transportation	4.0	5.8	4.4	4.0	4.5	3.3	4.2	4.7	6.5	8.4	6.3	-	59.1	50.3	8.8	17.5%
Total Local Assistance Grants	4,211.3	5,039.9	4,388.3	4,139.4	4,736.3	4,549.0	5,429.1	4,951.1	4,439.7	5,348.6	4,811.8	-	51,841.5	50,824.2	917.3	1.8%
Departmental Operations:																
Personal Service	49.3	65.8	55.1	44.3	47.7	50.9	75.8	46.7	52.9	48.6	50.8	-	587.9	587.0	0.9	0.2%
Non-Personal Service	70.1	76.3	96.4	81.6	105.5	186.4	133.1	125.5	125.5	142.9	151.0	-	1,251.6	1,221.5	30.1	2.5%
General State Charges	21.4	24.1	34.0	35.6	24.5	24.5	26.0	26.2	25.5	36.7	28.0	-	307.5	383.4	(75.9)	-21.8%
Capital Projects	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	0.0%
Total Disbursements	4,352.1	5,205.1	4,573.8	4,300.9	4,914.0	4,810.8	5,684.0	5,106.8	4,643.6	5,576.8	4,942.6	-	53,997.5	53,126.1	871.4	1.6%
Excess (Deficiency) of Receipts over Disbursements	1,866.3	(338.4)	1,110.4	(1,169.0)	963.8	684.6	(283.1)	122.1	1,817.2	(154.5)	159.0	-	4,778.4	1,515.1	3,263.3	215.4%
OTHER FINANCING SOURCES (USES):																
Transfers from Other Funds	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	0.0%
Transfers to Other Funds	(50.2)	(298.5)	(148.9)	(118.9)	(210.7)	(76.5)	(165.5)	(100.0)	(351.0)	(284.1)	(176.0)	-	(1,891.2)	(1,826.5)	(64.7)	8.5%
Total Other Financing Sources (Uses)	(50.2)	(298.5)	(148.9)	(118.9)	(210.7)	(76.5)	(165.5)	(100.0)	(351.0)	(284.1)	(176.0)	-	(1,891.2)	(1,826.5)	(64.7)	8.5%
Excess (Deficiency) of Receipts and Other Financing Sources over Disbursements and Other Financing Uses	1,816.1	(636.9)	960.6	(1,287.9)	753.1	608.1	(448.6)	22.1	1,466.2	(438.6)	(17.0)	-	2,797.2	(311.4)	3,108.6	988.3%
Ending Fund Balance	\$ 567.7	\$ (69.2)	\$ 891.4	\$ (386.5)	\$ 356.6	\$ 964.7	\$ 516.1	\$ 538.2	\$ 2,004.4	\$ 1,565.8	\$ 1,548.8	\$ -	\$ 1,548.8	\$ (17.8)	\$ 1,566.6	8,801.1%

**STATE OF NEW YORK
DEBT SERVICE FUNDS
STATEMENT OF CASH FLOW
FISCAL YEAR 2019-2020
(amounts in millions)**

EXHIBIT H

	11 Months Ended February 29																	
	2019																	
	APRIL	MAY	JUNE	JULY	AUGUST	SEPTEMBER	OCTOBER	NOVEMBER	DECEMBER	JANUARY	FEBRUARY	MARCH						
Beginning Fund Balance	\$ 64.8	\$ 314.8	\$ 683.8	\$ 361.5	\$ 614.7	\$ 744.3	\$ 307.0	\$ 604.4	\$ 962.3	\$ 985.1	\$ 2,581.5		\$ 64.8	2019	\$ 153.1	\$ (88.3)	% Increase/ (Decrease)	-57.7%
RECEIPTS:																		
Taxes:																		
Personal Income Tax	4,607.7	1,242.3	2,604.9	1,665.8	1,454.3	2,415.7	1,289.2	1,234.7	2,144.0	4,449.6	1,848.4		24,956.6	22,264.1		2,692.5	12.1%	
Consumption/Use Taxes:																		
Sales and Use	538.2	551.0	743.2	579.3	581.5	761.5	578.3	584.0	741.8	635.0	522.2		6,816.0	6,428.1		386.9	6.0%	
Total Consumption/Use Taxes	538.2	551.0	743.2	579.3	581.5	761.5	578.3	584.0	741.8	635.0	522.2		6,816.0	6,428.1		386.9	6.0%	
Other Taxes:																		
Real Estate Transfer	82.9	86.0	86.7	118.9	78.8	85.3	73.2	87.8	74.2	82.9	72.3		929.0	962.0		(33.0)	-3.4%	
Employer Compensation Expense Tax	-	0.1	-	0.1	0.1	0.1	0.1	-	0.2	0.3	(0.1)		0.9	0.9		0.9	100.0%	
Total Other Taxes	82.9	86.1	86.7	119.0	78.9	85.4	73.3	87.8	74.4	83.2	72.2		929.9	962.0		(32.1)	-3.3%	
Total Taxes	5,228.8	1,879.4	3,434.8	2,364.1	2,114.7	3,262.6	1,940.8	1,906.5	2,960.2	5,167.8	2,442.8		32,702.5	29,655.2		3,047.3	10.3%	
Miscellaneous Receipts:																		
Assessments:																		
Medical Care	-	-	-	-	-	-	-	-	-	-	-		-	-		-	0.0%	
Fees, Licenses and Permits:																		
Alcohol Beverage Control Licensing	-	-	-	-	-	-	-	-	-	-	-		-	-		-	0.0%	
Business/Professional	-	-	-	-	-	-	-	-	-	-	-		-	-		-	0.0%	
Civil	-	-	-	-	-	-	-	-	-	-	-		-	-		-	0.0%	
Criminal	-	-	-	-	-	-	-	-	-	-	-		-	-		-	0.0%	
Motor Vehicle	-	-	-	-	-	-	-	-	-	-	-		-	-		-	0.0%	
Recreational/Consumer	-	-	-	-	-	-	-	-	-	-	-		-	-		-	0.0%	
Interest Earnings	0.2	-	0.3	0.1	0.5	0.2	-	0.2	-	-	1.0		2.5	2.5		0.9	0.0%	
Receipts from Municipalities	-	0.5	-	0.8	-	-	0.4	0.1	-	-	1.1		2.9	2.9		0.9	0.0%	
Rentals	-	-	-	-	-	-	-	-	-	-	-		-	-		-	0.0%	
Revenues of State Departments:																		
Patent/Client Care Reimbursement	42.4	36.0	37.5	89.2	42.2	15.7	31.1	24.9	51.5	37.8	30.6		438.9	378.3		60.6	16.0%	
All Other	-	-	-	-	-	-	0.1	-	-	-	-		0.1	0.1		-	0.0%	
Sales	42.6	36.5	37.8	90.1	42.7	15.9	31.6	25.2	51.5	37.8	32.7		444.4	383.9		60.5	15.8%	
Total Miscellaneous Receipts	-	-	-	1.6	35.2	-	-	-	-	1.6	35.4		73.8	73.6		0.2	0.3%	
Federal Receipts	-	-	-	-	-	-	-	-	-	-	-		73.8	73.6		0.2	0.3%	
Total Receipts	5,271.4	1,915.9	3,472.6	2,455.8	2,192.6	3,278.5	1,972.4	1,931.7	3,011.7	5,207.2	2,510.9		33,220.7	30,112.7		3,108.0	10.3%	
DISBURSEMENTS:																		
Departmental Operations:																		
Non-Personal Service	0.7	2.3	2.6	8.6	6.8	1.5	0.6	2.2	1.5	0.2	1.6		28.6	29.8		(1.2)	-4.0%	
Debt Service, Including Payments on																		
Financing Agreements	72.4	121.1	230.3	45.1	74.5	433.2	48.5	74.9	412.2	44.6	719.9		2,276.7	2,498.0		(221.3)	-8.9%	
Total Disbursements	73.1	123.4	232.9	53.7	81.3	434.7	49.1	77.1	413.7	44.8	721.5		2,305.3	2,527.8		(222.5)	-8.8%	
Excess (Deficiency) of Receipts over Disbursements	5,198.3	1,792.5	3,239.7	2,402.1	2,111.3	2,843.8	1,923.3	1,854.6	2,598.0	5,162.4	1,789.4		30,915.4	27,584.9		3,330.5	12.1%	
OTHER FINANCING SOURCES (USES):																		
Transfers from Other Funds	219.3	206.6	86.5	281.9	186.1	270.9	318.2	93.5	376.8	453.5	219.0		2,712.3	2,554.7		157.6	6.2%	
Transfers to Other Funds	(5,167.6)	(1,630.1)	(3,648.5)	(2,430.8)	(2,167.8)	(3,552.0)	(1,944.1)	(1,590.2)	(2,952.0)	(4,019.5)	(1,579.3)		(30,681.9)	(26,588.9)		4,093.0	15.4%	
Total Other Financing Sources (Uses)	(4,948.3)	(1,423.5)	(3,562.0)	(2,148.9)	(1,981.7)	(3,281.1)	(1,625.9)	(1,496.7)	(2,575.2)	(3,566.0)	(1,360.3)		(27,969.6)	(24,034.2)		(3,935.4)	-16.4%	
Excess (Deficiency) of Receipts and Other Financing Sources over Disbursements and Other Financing Uses	250.0	369.0	(322.3)	253.2	129.6	(437.3)	297.4	357.9	22.8	1,596.4	429.1		2,945.9	3,550.7		(604.9)	-17.0%	
Ending Fund Balance	\$ 314.8	\$ 683.8	\$ 361.5	\$ 614.7	\$ 744.3	\$ 307.0	\$ 604.4	\$ 962.3	\$ 985.1	\$ 2,581.5	\$ 3,010.6	\$ -	\$ 3,010.6	\$ 3,703.8	\$ -	\$ (693.2)	-18.7%	

EXHIBIT I

STATE OF NEW YORK
CAPITAL PROJECTS FUNDS - COMBINED
STATEMENT OF CASH FLOW
FISCAL YEAR 2019-2020
(amounts in millions)

Beginning Fund Balance	2019												11 Months Ended February 29		% Increase/ (Decrease)	1.2%																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																						
	APRIL												2019																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																									
	\$ (1,137.9)												\$ (1,151.2)																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																									
RECEIPTS:													2020		Intra-Fund Transfer Eliminations (*)	MARCH	FEBRUARY	JANUARY	DECEMBER	NOVEMBER	OCTOBER	SEPTEMBER	AUGUST	JULY	JUNE	MAY																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																												
													\$ (1,137.9)																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																									
Taxes:																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																						

EXHIBIT I

STATE OF NEW YORK
CAPITAL PROJECTS FUNDS - COMBINED
STATEMENT OF CASH FLOW
FISCAL YEAR 2019-2020
(amounts in millions)

	2019 APRIL	MAY	JUNE	JULY	AUGUST	SEPTEMBER	OCTOBER	NOVEMBER	DECEMBER	JANUARY	FEBRUARY	MARCH	Intra-Fund Transfer Eliminations (*)	11 Months Ended February 29			% Increase/ Decrease
														2020	2019	\$ Increase/ (Decrease)	
DISBURSEMENTS:																	
Local Assistance Grants:																	
Education	9.2	3.2	10.3	10.7	12.0	42.4	14.4	18.2	24.8	19.9	3.4	-	-	189.6	139.3	50.3	21.0%
Economic Development and Recreation	25.1	33.5	2.1	15.0	11.0	17.6	14.9	11.5	13.3	23.6	13.3	-	-	393.2	392.0	11.2	2.9%
General Government	31.2	121.8	145.0	39.4	17.8	59.1	128.4	18.6	140.6	55.3	25.9	-	-	787.1	855.8	(68.7)	-8.0%
Public Health:																	
Medicaid	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	0.0%
Other Public Health	30.8	41.6	20.6	76.0	17.7	20.2	72.5	34.3	44.6	88.4	34.3	-	-	481.0	324.9	156.1	48.0%
Public Safety	10.0	(0.1)	(0.7)	0.1	0.3	12.0	1.2	14.8	1.8	44.7	2.0	-	-	86.1	53.1	33.0	62.1%
Public Welfare	-	10.9	86.1	6.0	9.1	42.8	3.2	83.1	13.3	98.9	14.7	-	-	368.1	289.6	88.5	30.5%
Support and Regulate Business	26.7	149.2	197.4	39.2	40.9	61.9	38.0	43.8	102.6	31.8	101.3	-	-	832.8	946.0	(113.2)	-12.0%
Transportation	232.7	44.7	70.8	57.1	45.1	508.7	80.1	36.8	281.2	49.8	80.5	-	-	1,487.5	1,599.8	(112.3)	-7.0%
Total Local Assistance Grants	365.7	404.8	535.6	243.5	156.9	764.7	352.6	261.5	622.3	621.4	275.4	-	-	4,004.4	4,399.5	(395.1)	-9.0%
Departmental Operations:																	
Capital Projects	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	0.0%
Non-Personal Service	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	0.0%
General State Changes	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	0.0%
Capital Projects	434.1	528.1	536.4	600.7	750.4	592.6	710.7	705.0	577.0	551.8	476.4	-	-	6,453.2	6,419.6	33.6	0.5%
Total Disbursements	799.8	932.9	1,072.0	844.2	907.3	1,347.3	1,063.3	966.5	1,199.3	1,173.2	751.8	-	-	11,057.6	10,889.1	68.5	0.6%
Excess (Deficiency) of Receipts over Disbursements	(343.6)	(595.7)	(545.1)	(333.8)	(433.7)	(435.5)	1,096.6	(545.3)	(504.6)	(96.8)	(432.1)	-	-	(3,172.6)	(1,553.0)	(1,619.6)	-91.9%
OTHER FINANCING SOURCES (USES):																	
Bond Proceeds	509.2	412.4	633.5	280.6	486.3	752.3	(532.5)	494.6	508.4	322.9	480.9	-	-	4,050.6	2,257.3	1,793.3	79.4%
Transfers from Other Funds	(45.9)	(47.7)	(48.7)	(48.8)	(69.5)	(253.5)	(222.2)	(45.4)	(88.8)	(45.7)	(168.8)	-	-	(807.0)	(544.0)	263.0	48.3%
Total Other Financing Sources (Uses)	463.3	364.7	584.8	231.8	416.8	498.8	(754.7)	449.2	419.6	277.2	312.1	-	-	3,243.6	1,713.3	1,530.3	89.3%
Excess (Deficiency) of Receipts and Other Financing Sources over Disbursements and Other Financing Uses	(119.7)	(231.0)	(36.7)	(122.0)	(16.9)	63.3	341.9	(96.1)	(85.0)	(180.4)	(120.0)	-	-	71.0	60.3	10.7	17.7%
Ending Fund Balance	\$ (1,018.2)	\$ (1,249.2)	\$ (1,212.5)	\$ (1,334.5)	\$ (1,351.4)	\$ (1,288.1)	\$ (946.2)	\$ (1,042.3)	\$ (1,127.3)	\$ (946.9)	\$ (1,066.9)	\$ -	\$ -	\$ (1,086.9)	\$ (1,090.9)	\$ 24.0	2.2%

(*) Intra-Fund transfer eliminations represent transfers from Capital Projects-State and Federal Funds.

STATE OF NEW YORK
CAPITAL PROJECTS FUNDS - STATE
STATEMENT OF CASH FLOW
FISCAL YEAR 2019-2020
(amounts in millions)

EXHIBIT I

	2019 APRIL	MAY	JUNE	JULY	AUGUST	SEPTEMBER	OCTOBER	NOVEMBER	DECEMBER	2020 JANUARY	FEBRUARY	MARCH	11 Months Ended February 29			
													2020 \$	2019 \$	\$ Increase/ (Decrease)	% Increase/ Decrease
Beginning Fund Balance	\$ (633.2)	\$ (446.5)	\$ (699.4)	\$ (636.7)	\$ (771.8)	\$ (804.6)	\$ (758.6)	\$ (373.3)	\$ (491.0)	\$ (579.7)	\$ (481.7)		\$ (633.2)	\$ (568.4)	\$ (64.8)	-11.4%
RECEIPTS:																
Taxes:																
Consumption/Use Taxes																
Auto Rental	3.5	0.3	19.5	0.1	0.1	33.7	(7.3)	0.1	20.6	-	0.1		70.7	67.9	2.8	4.1%
Motor Fuel	36.4	34.8	36.6	30.4	37.8	34.1	37.3	32.9	31.4	33.5	28.1		373.3	384.3	(11.0)	-2.9%
Highway Use	14.2	10.6	9.8	14.5	10.7	11.0	14.3	10.9	13.8	12.2	8.9		130.9	138.8	(7.9)	-5.7%
Total Consumption/Use Taxes	54.1	45.7	65.9	45.0	48.6	78.8	44.3	43.9	65.8	45.7	37.1		574.9	591.0	(16.1)	-2.7%
Business Taxes																
Corporation Franchise	-	-	-	-	-	-	-	-	-	-	-		-	-	-	0.0%
Corporation and Utilities	3.3	(0.1)	1.9	-	-	3.1	0.1	0.1	2.7	-	-		11.1	10.6	0.5	4.7%
Petroleum Business	56.3	55.8	58.4	52.5	60.0	56.8	60.2	52.2	51.5	54.9	45.0		603.6	599.2	4.4	0.7%
Total Business Taxes	59.6	55.7	60.3	52.5	60.0	59.9	60.3	52.3	54.2	54.9	45.0		614.7	609.8	4.9	0.8%
Other Taxes																
Real Estate Transfer	-	-	11.9	11.9	11.9	11.9	12.0	11.9	11.9	11.9	11.9		107.2	107.2	-	0.0%
Total Other Taxes	-	-	11.9	11.9	11.9	11.9	12.0	11.9	11.9	11.9	11.9		107.2	107.2	-	0.0%
Total Taxes	113.7	101.4	138.1	109.4	120.5	150.6	116.6	108.1	131.9	112.5	94.0		1,296.8	1,308.0	(11.2)	-0.9%
Miscellaneous Receipts:																
Abandoned Property	-	-	-	-	-	-	-	-	-	-	-		23.0	23.0	-	0.0%
Bottle Bill	-	-	23.0	-	-	-	-	-	-	-	-		93.8	92.3	1.5	1.6%
Assessments:	10.1	9.3	8.7	8.2	8.6	8.3	8.3	8.0	7.6	8.3	8.4		31.3	31.4	(0.1)	-0.3%
Fees, Licenses and Permits:	0.8	5.6	3.7	2.5	10.7	1.3	1.2	2.0	0.6	0.6	2.3		676.0	663.3	12.7	1.9%
Business/Professional	-	-	-	-	-	-	-	-	-	-	-		30.9	33.4	(2.5)	-7.5%
Civil	67.0	69.3	65.4	60.8	63.6	60.4	57.4	58.5	52.3	59.9	61.4		22.7	23.4	(0.7)	-3.0%
Motor Vehicle	0.2	0.1	-	-	-	3.0	12.8	(1.2)	-	1.6	0.5		10.5	10.0	0.5	5.0%
Recreational/Consumer	2.3	2.0	2.3	1.7	1.7	2.3	1.9	5.1	1.3	0.8	0.8		3,555.0	4,960.7	(1,405.7)	-28.3%
Fines, Penalties and Forfeitures	1.1	1.0	1.0	1.1	1.0	1.0	1.0	0.9	0.8	0.8	0.8		-	-	-	0.0%
Interest Earnings	200.8	2.8	146.4	155.3	79.2	499.1	1,588.2	23.6	328.3	519.4	11.9		53.2	5.6	47.6	850.0%
Receipts from Public Authorities:	-	-	-	-	-	-	-	-	-	-	-		2.6	1.2	2.6	216.7%
Bond Proceeds	-	-	-	-	-	-	-	-	-	-	-		7.6	11.2	(3.6)	-32.1%
Non Bond Related	3.5	0.1	0.4	(0.1)	-	-	20.4	25.3	0.4	2.3	0.9		-	-	-	0.0%
Receipts from Municipalities	0.3	0.2	0.3	0.3	0.3	0.2	0.2	0.4	0.1	1.3	0.7		34.6	29.0	5.6	517.9%
Rentals	0.8	0.8	0.4	0.5	1.6	0.6	0.6	0.7	0.4	1.0	0.2		(0.9)	-	(0.9)	-100.0%
Revenues of State Departments:													0.2	0.4	(0.2)	-50.0%
Administrative Recoveries	10.1	0.5	0.3	0.6	0.3	0.3	3.4	1.7	2.8	0.4	14.2		12.1	9.0	3.1	34.4%
Gifts, Grants and Donations	(0.9)	-	-	-	-	-	-	-	-	-	-		58.0	15.0	43.0	286.7%
Indirect Cost Recoveries	-	-	-	-	-	-	-	-	-	-	-		4.6	2.2	2.4	109.1%
Rebates	0.1	0.1	-	-	-	-	-	-	-	-	-		4,616.4	5,887.7	(1,271.3)	-21.6%
Restitution and Settlements	0.2	0.5	0.4	0.1	0.2	0.1	2.5	0.3	6.5	1.2	0.1		2.3	2.5	(0.2)	-8.0%
All Other	3.6	0.8	1.1	14.5	12.3	4.9	4.4	3.2	2.9	6.7	3.6		5,915.5	7,198.2	(1,282.7)	-17.8%
Sales	4.2	-	-	-	-	-	1,702.4	128.7	404.1	619.4	105.1		-	-	-	-
Total Miscellaneous Receipts	304.1	92.9	253.5	245.2	179.5	581.5	1,702.4	128.7	404.1	619.4	105.1		2.3	2.5	(0.2)	-8.0%
Federal Receipts	-	-	-	-	-	2.3	-	-	-	-	-		1,282.7	7,198.2	(1,282.7)	-17.8%
Total Receipts	417.8	194.3	391.6	354.6	300.0	734.4	1,819.0	236.8	536.0	731.9	199.1		5,915.5	7,198.2	(1,282.7)	-17.8%

EXHIBIT I

STATE OF NEW YORK
CAPITAL PROJECTS FUNDS - STATE
STATEMENT OF CASH FLOW
FISCAL YEAR 2019-2020
(amounts in millions)

	11 Months Ended February 29												% Increase/ Decrease
	2019 APRIL	MAY	JUNE	JULY	AUGUST	SEPTEMBER	OCTOBER	NOVEMBER	DECEMBER	2020 JANUARY	FEBRUARY	MARCH	
DISBURSEMENTS:													
Local Assistance Grants:													
Education	9.2	3.2	10.3	10.7	12.0	42.4	14.4	18.2	24.9	19.9	3.4		
Environment and Recreation	25.1	33.5	2.1	15.0	14.0	17.6	128.4	11.9	13.3	61.6	13.3	3.4	21.9%
General Government	31.2	121.8	149.0	39.4	17.8	59.1		18.6	140.6	55.3	25.9		7.3%
Public Health:													-8.0%
Medicaid	-	-	-	-	-	-	-	-	-	-	-	-	0.0%
Other Public Health	30.8	41.6	20.6	75.6	17.7	19.4	34.8	34.1	44.6	88.4	34.3		57.8%
Public Safety	10.0	(0.1)	(10.8)	-	0.3	2.0	1.2	6.4	1.8	44.7	2.0		111.4%
Public Welfare	-	10.9	86.1	6.0	9.1	42.8	3.2	83.1	13.3	98.9	14.7		36.5%
Support and Regulate Business	26.7	149.2	197.4	39.2	40.9	61.9	38.0	43.8	102.6	31.8	107.3		-12.0%
Transportation	192.7	7.1	23.2	19.3	5.8	476.3	29.6	4.8	222.5	9.9	8.1		-15.3%
Total Local Assistance Grants	325.7	367.2	477.9	205.2	117.6	721.5	264.4	220.9	563.6	410.5	203.0	-	-0.7%
Departmental Operations:													
Personal Service	-	-	-	-	-	-	-	-	-	-	-	-	0.0%
Non-Personal Service	-	-	-	-	-	-	-	-	-	-	-	-	0.0%
General State Charges	-	-	-	-	-	-	-	-	-	-	-	-	0.0%
Capital Projects	368.7	444.7	435.8	496.3	632.0	465.7	590.5	582.8	480.6	500.7	428.6		3.2%
Total Disbursements	694.4	811.9	913.7	701.5	749.6	1,187.2	854.9	803.7	1,044.4	911.2	631.6	-	1.5%
Excess (Deficiency) of Receipts over Disbursements	(276.6)	(617.6)	(522.1)	(346.9)	(449.6)	(452.8)	964.1	(566.9)	(508.4)	(179.3)	(432.5)	-	-72.5%
OTHER FINANCING SOURCES (USES):													
Bond Proceeds (net)	-	-	-	-	-	-	-	-	-	-	-	-	0.0%
Transfers from Other Funds	509.2	412.4	633.5	260.6	486.3	752.3	(532.5)	484.6	508.4	322.9	480.9		69.5%
Transfers to Other Funds	(45.9)	(47.7)	(48.7)	(48.8)	(69.5)	(253.5)	(46.3)	(45.4)	(88.7)	(45.6)	(68.8)		48.4%
Total Other Financing Sources (Uses)	463.3	364.7	584.8	211.8	416.8	498.8	(578.8)	449.2	419.7	277.3	414.1	-	75.3%
Excess (Deficiency) of Receipts and Other Financing Sources over Disbursements and Other Financing Uses	186.7	(252.9)	62.7	(135.1)	(32.8)	46.0	385.3	(117.7)	(88.7)	98.0	(18.4)	-	195.8%
Ending Fund Balance	\$ (446.5)	\$ (698.4)	\$ (636.7)	\$ (771.8)	\$ (804.6)	\$ (758.6)	\$ (373.3)	\$ (491.0)	\$ (579.7)	\$ (481.7)	\$ (500.1)	\$ -	4.5%

EXHIBIT I

34

EXHIBIT J

STATE OF NEW YORK
ENTERPRISE FUNDS
STATEMENT OF CASH FLOW
FISCAL YEAR 2019-2020
(amounts in millions)

	11 Months Ended February 29												% Increase/ Decrease		
	\$ Increase/ (Decrease)														
	2019 APRIL	MAY	JUNE	JULY	AUGUST	SEPTEMBER	OCTOBER	NOVEMBER	DECEMBER	2020 JANUARY	FEBRUARY	MARCH			
Beginning Fund Balance	\$ 26.6	\$ 26.6	\$ 26.9	\$ 27.3	\$ 27.8	\$ 27.1	\$ 39.3	\$ 33.4	\$ 31.1	\$ 28.9	\$ 30.4	\$ 26.6	\$ 24.6	\$ 2.0	8.1%
RECEIPTS:															
Miscellaneous Receipts	4.8	6.1	5.1	5.5	6.7	17.2	9.9	5.7	4.6	6.0	4.3	75.9	56.5	19.4	34.3%
Federal Receipts	1.1	1.0	0.9	1.0	0.9	0.9	1.0	1.0	5.9	1.0	0.9	15.6	14.2	1.4	9.9%
Unemployment Taxes	187.5	139.2	134.9	186.0	160.6	150.3	147.0	151.2	220.3	227.7	222.6	1,927.3	1,837.3	90.0	4.9%
Total Receipts	193.4	146.3	140.9	192.5	168.2	168.4	157.9	157.9	230.8	234.7	227.8	2,018.8	1,908.0	110.8	5.8%
DISBURSEMENTS:															
Departmental Operations:															
Personal Service	0.3	0.6	0.3	0.3	0.4	0.4	8.2	2.5	1.3	1.0	0.9	16.2	5.7	10.5	184.2%
Non-Personal Service	3.6	5.1	4.5	4.4	7.2	4.3	7.8	4.8	4.6	3.7	4.3	54.3	49.6	4.7	9.5%
General State Charges	0.1	-	0.1	0.1	-	0.1	-	0.7	0.2	0.1	0.1	1.5	0.9	0.6	66.7%
Unemployment Benefits	189.4	140.3	135.6	187.2	161.3	151.4	147.8	152.2	226.9	228.4	223.0	1,943.5	1,851.5	92.0	5.0%
Total Disbursements	193.4	146.0	140.5	192.0	168.9	156.2	163.8	160.2	233.0	233.2	228.3	2,015.5	1,907.7	107.8	5.7%
Excess (Deficiency) of Receipts over Disbursements	-	0.3	0.4	0.5	(0.7)	12.2	(5.9)	(2.3)	(2.2)	1.5	(0.5)	3.3	0.3	3.0	1,000.0%
OTHER FINANCING SOURCES (USES):															
Transfers from Other Funds	-	-	-	-	-	-	-	-	-	-	-	-	-	-	0.0%
Transfers to Other Funds	-	-	-	-	-	-	-	-	-	-	-	-	-	-	0.0%
Total Other Financing Sources (Uses)	-	-	-	-	-	-	-	-	-	-	-	-	-	-	0.0%
Excess (Deficiency) of Receipts and Other Financing Sources Over Disbursements and Other Financing Uses	-	0.3	0.4	0.5	(0.7)	12.2	(5.9)	(2.3)	(2.2)	1.5	(0.5)	3.3	0.3	3.0	1,000.0%
Ending Fund Balance	\$ 26.6	\$ 26.9	\$ 27.3	\$ 27.8	\$ 27.1	\$ 39.3	\$ 33.4	\$ 31.1	\$ 28.9	\$ 30.4	\$ 29.9	\$ -	\$ 24.9	\$ 5.0	20.1%

EXHIBIT K

	2019 APRIL	MAY	JUNE	JULY	AUGUST	SEPTEMBER	OCTOBER	NOVEMBER	DECEMBER	2020 JANUARY	FEBRUARY	MARCH	2020 2019 \$ (302.7) \$ (269.2)	\$ Increase/ Decrease	February 29
Beginning Fund Balance															
RECEIPTS:															
Miscellaneous Receipts	33.2	32.5	42.3	56.6	37.9	61.7	43.4	57.0	41.9	62.3	56.8		442.1	83.5	18.9%
Total Receipts	33.2	32.5	42.3	56.6	37.9	61.7	43.4	57.0	41.9	62.3	56.8	-	442.1	83.5	18.9%
DISBURSEMENTS:															
Departmental Operations:															
Personal Service	9.7	14.0	9.6	9.7	9.9	9.6	14.0	9.6	9.5	10.7	8.8		94.7	20.4	21.5%
Non-Personal Service	24.4	59.3	3.9	34.7	36.4	34.1	41.8	48.1	28.7	28.1	70.5		402.5	1.9%	1.9%
General State Charges	4.1	4.9	6.6	3.2	4.6	4.6	1.6	4.7	4.5	7.3	4.4		66.9	(16.4)	-23.8%
Total Disbursements	38.2	78.2	22.1	49.6	50.9	48.3	57.4	62.4	43.7	46.1	83.7	-	577.6	11.5	2.0%
Excess (Deficiency) of Receipts over Disbursements	(5.0)	(42.7)	20.2	7.0	(13.0)	13.4	(14.0)	(5.4)	(1.8)	16.2	(26.9)	-	(124.0)	72.0	58.1%
OTHER FINANCING SOURCES (USES):															
Transfers from Other Funds	14.3	17.5	4.7	2.3	1.3	5.3	3.6	3.6	4.4	10.7	4.8		56.0	16.5	29.5%
Transfers to Other Funds	-	-	-	-	(0.4)	(0.5)	-	(0.2)	(3.2)	-	-		(11.1)	(6.8)	-61.3%
Total Other Financing Sources (Uses)	14.3	17.5	4.7	2.3	0.9	4.8	3.6	3.4	1.2	10.7	4.8	-	44.9	23.3	51.9%
Excess (Deficiency) of Receipts and Other Financing Sources Over Disbursements and Other Financing Uses	9.3	(25.2)	24.9	9.3	(12.1)	18.2	(10.4)	(2.0)	(0.6)	26.9	(22.1)	-	(79.1)	95.3	120.5%
Ending Fund Balance	(293.4)	(318.6)	(283.7)	(284.4)	(296.5)	(278.3)	(286.7)	(290.7)	(291.3)	(264.4)	(286.5)	\$ -	(348.3)	\$ 61.8	17.7%

STATE OF NEW YORK
PENSION TRUST FUNDS
STATEMENT OF CASH FLOW
FISCAL YEAR 2019-2020
(amounts in millions)

EXHIBIT L

	2019		11 Months Ended February 29											\$ Increase/ % Increase (Decrease) Decrease	
	APRIL	MAY	JUNE	JULY	AUGUST	SEPTEMBER	OCTOBER	NOVEMBER	DECEMBER	JANUARY	FEBRUARY	MARCH	2020	2019	
Beginning Fund Balance	\$ (3.0)	\$ (7.4)	\$ (11.8)	\$ (16.5)	\$ (22.6)	\$ (2.0)	\$ (7.0)	\$ (3.2)	\$ (8.0)	\$ 0.1	\$ (6.1)		\$ (3.0)	\$ (2.0)	\$ (1.0)
RECEIPTS:															
Miscellaneous Receipts	5.3	7.8	5.1	5.1	30.0	5.2	12.7	5.3	36.3	5.3	5.3		123.4	109.7	13.7
Total Receipts	5.3	7.8	5.1	5.1	30.0	5.2	12.7	5.3	36.3	5.3	5.3	-	123.4	109.7	13.7
DISBURSEMENTS:															
Departmental Operations:															
Personal Service	5.3	7.7	5.4	5.0	5.1	5.3	7.7	5.3	5.3	5.1	5.3		62.5	62.0	0.5
Non-Personal Service	1.1	1.1	1.1	1.3	1.1	1.6	1.0	1.5	19.5	1.4	1.0		31.7	15.3	16.4
General State Charges	3.3	3.4	3.3	4.9	3.2	3.3	0.2	3.3	3.4	5.0	3.4		36.7	44.1	(7.4)
Total Disbursements	9.7	12.2	9.8	11.2	9.4	10.2	8.9	10.1	28.2	11.5	9.7	-	130.9	121.4	9.5
Excess (Deficiency) of Receipts over Disbursements	(4.4)	(4.4)	(4.7)	(6.1)	20.6	(5.0)	3.8	(4.8)	8.1	(6.2)	(4.4)	-	(7.5)	(11.7)	4.2
OTHER FINANCING SOURCES (USES):															
Transfers from Other Funds	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Transfers to Other Funds	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Total Other Financing Sources (Uses)	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Excess (Deficiency) of Receipts and Other Financing Sources Over Disbursements and Other Financing Uses	(4.4)	(4.4)	(4.7)	(6.1)	20.6	(5.0)	3.8	(4.8)	8.1	(6.2)	(4.4)	-	(7.5)	(11.7)	4.2
Ending Fund Balance	\$ (7.4)	\$ (11.8)	\$ (16.5)	\$ (22.6)	\$ (2.0)	\$ (7.0)	\$ (3.2)	\$ (8.0)	\$ 0.1	\$ (6.1)	\$ (10.5)	\$ -	\$ (10.5)	\$ (13.7)	\$ 3.2

**STATE OF NEW YORK
PRIVATE PURPOSE TRUST FUNDS
STATEMENT OF CASH FLOW
FISCAL YEAR 2019-2020
(amounts in millions)**

38

SCHEDULE 1

STATE OF NEW YORK
GOVERNMENTAL FUNDS
SUMMARY OF CASH RECEIPTS, DISBURSEMENTS AND
CHANGES IN FUND BALANCES
FISCAL YEAR 2019-2020
FOR THE MONTH OF FEBRUARY 2020
(amounts in millions)

	BALANCE FEBRUARY 1, 2020	RECEIPTS	DISBURSEMENTS	OTHER FINANCING SOURCES (USES)	BALANCE FEBRUARY 29, 2020
GENERAL FUND					
10000-10049-Local Assistance Account	\$ -	\$ 0.048	\$ 2,399.584	\$ 2,399.536	\$ -
10050-10099-State Operations Account	10,786.730	2,627.360	1,308.670	(1,173.050)	10,932.370
10100-10149-Tax Stabilization Reserve	-	-	-	-	-
10150-10199-Contingency Reserve	-	-	-	-	-
10200-10249-Universal Pre-K Reserve	-	-	-	-	-
10250-10299-Community Projects	31.258	-	0.313	-	30.945
10300-10349-Rainy Day Reserve Fund	-	-	-	-	-
10400-10449-Refund Reserve Account	-	-	-	-	-
10500-10549-Fringe Benefits Escrow	-	-	-	-	-
10550-10599-Tobacco Revenue Guarantee	-	-	-	-	-
TOTAL GENERAL FUND	10,817.988	2,627.408	3,708.567	1,226.486	10,963.315

SPECIAL REVENUE FUNDS-STATE

20000-20099-Mental Health Gifts and Donations	0.829	0.003	0.011	-	0.821
20100-20299-Combined Expendable Trust	68.577	0.678	1.122	-	68.133
20300-20349-New York Interest on Lawyer Account	94.953	4.409	0.362	-	99.000
20350-20399-NYS Archives Partnership Trust	0.078	-	0.033	-	0.045
20400-20449-Child Performer's Protection	0.137	0.009	0.047	-	0.099
20450-20499-Tuition Reimbursement	7.707	0.627	0.300	-	8.034
20500-20549-New York State Local Government Records Management Improvement	3.970	0.788	0.595	-	4.163
20550-20599-School Tax Relief	0.218	-	-	-	0.218
20600-20649-Charter Schools Stimulus	1.247	0.001	-	-	1.248
20650-20699-Not-For-Profit Short Term Revolving Loan	-	-	-	-	-
20800-20849-HCRA Resources	230.457	495.572	474.224	(35.744)	216.061
20850-20899-Dedicated Mass Transportation Trust	70.415	44.983	57.038	-	58.360
20900-20949-State Lottery	(198.456)	250.125	149.416	-	(97.747)
20950-20999-Combined Student Loan	17.431	1.947	2.648	-	16.730
21000-21049-Sewage Treatment Program Mgmt. & Administration	(4.055)	-	0.065	-	(4.120)
21050-21149-Encon Special Revenue	4.034	3.343	7.921	2.793	2.249
21150-21199-Conservation	86.553	0.512	2.543	-	84.522
21200-21249-Environmental Protection and Oil Spill Compensation	26.901	2.755	1.588	(2.613)	25.455
21250-21299-Training and Education Program on OSHA	7.481	0.009	1.198	-	6.292
21300-21349-Lawyers' Fund for Client Protection	11.211	1.142	1.687	-	10.666
21350-21399-Equipment Loan for the Disabled	0.549	0.002	0.009	-	0.542
21400-21449-Mass Transportation Operating Assistance	(96.229)	140.625	33.305	(0.067)	11.024
21450-21499-Clean Air	(31.636)	2.353	2.888	-	(32.171)
21500-21549-New York State Infrastructure Trust	0.071	-	-	-	0.071
21550-21599-Legislative Computer Services	11.998	0.200	0.058	-	12.140
21600-21649-Biodiversity Stewardship and Research	-	-	-	-	-
21650-21699-Combined Non-Expendable Trust	0.466	0.001	-	-	0.467
21700-21749-Winter Sports Education Trust	-	-	-	-	-
21750-21799-Musical Instrument Revolving	-	-	-	-	-
21850-21899-Arts Capital Grants	0.001	-	-	-	0.001
21900-22499-Miscellaneous State Special Revenue	0.978	0.002	-	-	0.980
22500-22549-Court Facilities Incentive Aid	1,505.746	222.680	276.540	(0.662)	1,451.224
	23.036	0.042	27.834	14.967	10.211

SCHEDULE 1

STATE OF NEW YORK
GOVERNMENTAL FUNDS
SUMMARY OF CASH RECEIPTS, DISBURSEMENTS AND
CHANGES IN FUND BALANCES
FISCAL YEAR 2019-2020
FOR THE MONTH OF FEBRUARY 2020
(amounts in millions)

	BALANCE FEBRUARY 1, 2020	RECEIPTS	DISBURSEMENTS	OTHER FINANCING SOURCES (USES)	BALANCE FEBRUARY 29, 2020
SPECIAL REVENUE FUNDS-STATE (CONTINUED)					
22500-22599-Employment Training	0.052	-	-	-	0.052
22650-22699-State University Income	1,444.628	715.436	523.403	63.180	1,699.841
22700-22749-Chemical Dependence Service	15.252	0.048	3.527	-	11.773
22750-22799-Lake George Park Trust	0.189	-	0.066	-	0.123
22800-22849-State Police Motor Vehicle Law Enforcement and Motor Vehicle Theft and Insurance Fraud Prevention	86.776	7.716	1.500	(38.573)	54.419
22850-22899-New York Great Lakes Protection	0.403	0.001	0.011	-	0.393
22900-22949-Federal Revenue Maximization	0.024	-	-	-	0.024
22950-22999-Housing Development	10.090	0.014	(0.450)	-	10.554
23000-23049-NYS/DOT Highway Safety Program	(14.852)	0.078	(0.401)	-	(14.373)
23050-23099-Vocational Rehabilitation	0.054	0.016	0.017	-	0.053
23100-23149-Drinking Water Program Management and Administration	(5.351)	-	-	-	(5.351)
23150-23199-NYC County Clerks' Operations Offset	(55.941)	-	2.502	-	(58.443)
23200-23249-Judiciary Data Processing Offset	46.779	6.220	2.532	-	50.467
23250-23449-IFR/CUTRA	192.745	18.125	7.182	-	203.688
23500-23549-USOC Lake Placid Training	0.283	0.009	-	-	0.292
23550-23599-Indigent Legal Services	456.236	26.362	44.912	-	437.686
23600-23649-Unemployment Insurance Interest and Penalty	31.092	0.825	0.226	-	31.691
23650-23699-MTA Financial Assistance Fund	89.577	0.110	-	12.500	102.187
23700-23749-New York State Commercial Gaming Fund	103.385	15.258	0.394	-	118.249
23750-23799-Medical Marihuana Trust Fund	8.192	0.526	1.044	-	7.674
23800-23899-Dedicated Miscellaneous State Special Revenue	2.941	0.379	0.035	-	3.285
24850-24899-Health Care Transformation	1,016.634	7.702	-	-	1,024.336
24900-24949-Charitable Gifts Trust Fund	95.387	0.135	-	-	95.522
24950-24999-Interactive Fantasy Sports	18.681	0.545	0.019	-	19.207
40350-40399-State University Dormitory Income	221.627	90.459	-	(22.851)	289.235
TOTAL SPECIAL REVENUE FUNDS-STATE	5,609.551	2,062.772	1,627.951	(7.070)	6,037.302
SPECIAL REVENUE FUNDS-FEDERAL					
25000-25099-Federal USDA/Food and Consumer Services	(6.954)	187.887	194.312	-	(13.379)
25100-25199-Federal Health and Human Services	1,748.095	4,369.839	4,204.378	(173.170)	1,740.386
25200-25249-Federal Education	(73.906)	276.300	239.695	(0.009)	(37.310)
25300-25899-Federal Miscellaneous Operating Grants	(231.491)	135.177	165.862	(2.793)	(264.969)
25900-25949-Unemployment Insurance Administration	131.916	25.006	25.161	-	131.761
25950-25999-Unemployment Insurance Occupational Training	(0.496)	0.440	0.398	-	(0.454)
26000-26049-Federal Employment and Training Grants	(1.369)	6.982	12.848	-	(7.235)
TOTAL SPECIAL REVENUE FUNDS-FEDERAL	1,565.795	5,001.631	4,842.654	(175.972)	1,548.800
TOTAL SPECIAL REVENUE FUNDS	7,175.346	7,064.403	6,470.605	(183.042)	7,586.102
DEBT SERVICE FUNDS					
40000-40049-Debt Reduction Reserve	-	-	-	-	-
40100-40149-Mental Health Services	334.944	20.809	0.226	(334.619)	20.908
40150-40199-General Debt Service	2,201.704	2,144.827	721.284	(941.684)	2,683.563
40250-40299-State Housing Debt Service	-	1.149	-	(1.149)	-
40300-40349-Department of Health Income	20.757	10.717	-	(9.047)	22.427
40400-40449-Clean Water/Clean Air	24.115	72.246	-	(92.720)	3.641
40450-40499-Local Government Assistance Tax	-	261.063	-	18.958	280.021
TOTAL DEBT SERVICE FUNDS	2,581.520	2,510.811	721.510	(1,360.261)	3,010.560

SCHEDULE 1

STATE OF NEW YORK
GOVERNMENTAL FUNDS
SUMMARY OF CASH RECEIPTS, DISBURSEMENTS AND
CHANGES IN FUND BALANCES
FISCAL YEAR 2019-2020
FOR THE MONTH OF FEBRUARY 2020
(amounts in millions)

	BALANCE FEBRUARY 1, 2020	RECEIPTS	DISBURSEMENTS	OTHER FINANCING SOURCES (USES)	BALANCE FEBRUARY 29, 2020
CAPITAL PROJECTS FUNDS					
30000-30049-State Capital Projects	-	2,953	315,948	312,995	-
30050-30099-Dedicated Highway and Bridge Trust	(77,699)	153,880	133,778	37,065	(20,532)
30100-30299-SUNY Residence Halls Rehabilitation and Repair	148,738	0,211	4,754	1,325	145,520
30300-30349-New York State Canal System Development	13,322	0,018	-	-	13,340
30350-30399-Parks Infrastructure	(18,832)	0,005	14,869	-	(33,696)
30400-30449-Passenger Facility Charge	0,015	-	-	-	0,015
30450-30499-Environmental Protection	104,328	12,953	19,172	-	98,109
30500-30549-Clean Water/Clean Air Implementation	-	-	-	-	-
30600-30609-Energy Conservation Thru Improved Transportation Bond	0,164	-	-	-	0,164
30610-30619-Park and Recreation Land Acquisition Bond	-	-	-	-	-
30620-30629-Pure Waters Bond	0,668	-	-	-	0,668
30630-30639-Transportation Capital Facilities Bond	3,328	-	-	-	3,328
30640-30649-Environmental Quality Protection Bond	1,419	-	-	-	1,419
30650-30659-Rebuild and Renew New York Transportation Bond	17,329	-	-	-	17,329
30660-30669-Transportation Infrastructure Renewal Bond	4,255	-	-	-	4,255
30670-30679-1986 Environmental Quality Bond Act	5,551	-	-	-	5,551
30680-30689-Accelerated Capacity and Transportation Improvement Bond	2,778	-	-	-	2,778
30690-30699-Clean Water/Clean Air Bond	1,428	-	-	-	1,428
30700-30709-State Housing Bond	-	-	-	-	-
30710-30719-Smart Schools Bond	-	-	-	-	-
30750-30799-Outdoor Recreation and Development Bond	-	-	-	-	-
30900-30949-Rail Preservation and Development Bond	-	-	-	-	-
31350-31449-Federal Capital Projects	(465,174)	120,624	120,193	(102,019)	(566,762)
31450-31499-Forest Preserve Expansion	1,076	0,002	-	1,078	1,078
31500-31549-Hazardous Waste Remedial	(69,710)	0,867	5,543	(0,431)	(74,817)
31650-31699-Suburban Transportation	0,537	-	-	0,537	0,537
31700-31749-Division for Youth Facilities Improvement	(18,445)	-	1,620	-	(20,065)
31800-31849-Housing Assistance	(12,942)	-	-	-	(12,942)
31850-31899-Housing Program	(158,544)	(2,522)	14,666	-	(175,732)
31900-31949-Natural Resource Damage	17,365	0,046	0,215	-	17,196
31950-31999-DOT Engineering Services	(11,969)	-	-	-	(11,969)
32200-32249-Miscellaneous Capital Projects	111,119	1,607	11,772	1,290	102,244
32250-32299-CUNY Capital Projects	0,011	0,003	-	-	0,014
32300-32349-Mental Hygiene Facilities Capital Improvement	(375,797)	11,944	19,930	-	(383,783)
32350-32399-Correction Facilities Capital Improvement	(340,431)	(0,022)	35,511	-	(375,964)
32400-32999-State University Capital Projects	161,438	14,297	5,698	11,821	181,858
33000-33049-NYS Storm Recovery Fund	(50,492)	2,872	-	-	(47,669)
33050-33099-Dedicated Infrastructure Investment Fund	58,304	-	47,833	50,000	60,471
TOTAL CAPITAL PROJECTS FUNDS	(946,862)	319,738	751,851	312,046	(1,066,929)
TOTAL GOVERNMENTAL FUNDS	\$ 19,627,992	\$ 12,522,360	\$ 11,652,533	\$ (4,771)	\$ 20,493,048

SCHEDULE 2

STATE OF NEW YORK
 PROPRIETARY FUNDS
 SUMMARY OF CASH RECEIPTS, DISBURSEMENTS AND
 CHANGES IN FUND BALANCES
 FISCAL YEAR 2019-2020
 FOR THE MONTH OF FEBRUARY 2020
 (amounts in millions)

<u>FUND TYPE</u>	<u>BALANCE</u> <u>FEBRUARY 1, 2020</u>	<u>RECEIPTS</u>	<u>DISBURSEMENTS</u>	<u>OTHER</u> <u>FINANCING</u> <u>SOURCES (USES)</u>	<u>BALANCE</u> <u>FEBRUARY 29, 2020</u>
ENTERPRISE FUNDS					
50000-50049-Youth Commissary	\$ 0.102	\$ 0.001	\$ 0.002	\$ -	\$ 0.101
50050-50099-State Exposition Special	0.415	0.231	0.195	-	0.451
50100-50299-Correctional Services Commissary	3.981	2.973	3.353	-	3.601
50300-50399-Agencies Enterprise	8.825	0.642	1.493	-	7.974
50400-50449-Sheltered Workshop	2.186	0.041	0.011	-	2.216
50450-50499-Patient Workshop	1.635	0.282	0.122	-	1.795
50500-50599-Mental Hygiene Community Stores	4.972	0.097	0.141	-	4.928
50650-50699-Unemployment Insurance	8.273	223.514	222.980	-	8.807
TOTAL ENTERPRISE FUNDS	30.389	227.781	228.297	-	29.873
INTERNAL SERVICE FUNDS					
55000-55049-Centralized Services	(83.668)	32.065	41.905	3.363	(90.145)
55050-55099-Agency Internal Service	(100.206)	20.539	32.253	1.419	(110.501)
55100-55149-Mental Hygiene Revolving	(0.006)	0.051	0.055	-	(0.010)
55150-55199-Youth Vocational Education	0.090	0.001	0.006	-	0.085
55200-55249-Joint Labor and Management Administration	(0.006)	0.758	0.077	-	0.675
55250-55299-Audit and Control Revolving	(32.945)	-	2.968	(0.011)	(35.924)
55300-55349-Health Insurance Revolving	(10.680)	0.891	1.528	-	(11.317)
55350-55399-Correctional Industries Revolving	(36.954)	2.492	4.897	-	(39.359)
TOTAL INTERNAL SERVICE FUNDS	(264.375)	56.797	83.689	4.771	(286.496)
TOTAL PROPRIETARY FUNDS	\$ (233.986)	\$ 284.578	\$ 311.986	\$ 4.771	\$ (256.623)

SCHEDULE 3

STATE OF NEW YORK
FIDUCIARY FUNDS
SUMMARY OF CASH RECEIPTS, DISBURSEMENTS AND CHANGES IN FUND BALANCES
FISCAL YEAR 2019-2020
FOR THE MONTH OF FEBRUARY 2020
(amounts in millions)

FUND TYPE	BALANCE FEBRUARY 1, 2020	RECEIPTS	DISBURSEMENTS	OTHER FINANCING SOURCES (USES)	BALANCE FEBRUARY 29, 2020
<u>PENSION TRUST FUNDS</u>					
65000-65049-Common Retirement Administration	\$ (6.136)	\$ 5.366	\$ 9.772	\$ -	\$ (10.542)
TOTAL PENSION TRUST FUNDS	(6.136)	5.366	9.772	-	(10.542)
<u>PRIVATE PURPOSE TRUST FUNDS</u>					
66000-66049-Agriculture Producers' Security	2.949	0.004	0.016	-	2.937
66050-66099-Milk Producers' Security	11.168	0.097	0.020	-	11.245
TOTAL PRIVATE PURPOSE TRUST FUNDS	14.117	0.101	0.036	-	14.182
<u>AGENCY FUNDS</u>					
60050-60149-School Capital Facilities Financing Reserve	24.342	0.351	-	-	24.693
60150-60199-Child Performer's Holding	0.528	0.001	-	-	0.529
60200-60249-Employees Health Insurance	1,105.920	790.765	930.773	-	965.912
60250-60299-Social Security Contribution	15.029	99.757	99.731	-	15.055
60300-60399-Employee Payroll Withholding	41.151	362.231	362.968	-	40.414
60400-60449-Employees Dental Insurance	27.177	4.233	5.864	-	25.546
60450-60499-Management Confidential Group Insurance	0.547	0.647	0.717	-	0.477
60500-60549-Lottery Prize	596.918	131.586	76.391	-	652.113
60550-60599-Health Insurance Reserve Receipts	0.145	-	-	-	0.145
60600-60799-Miscellaneous New York State Agency	896.863	194.867	194.950	-	896.780
60800-60849-Elderly Pharmaceutical Insurance Coverage (EPIC) Escrow	32.947	2.451	5.720	-	29.678
60850-60899-CUNY Senior College Operating	46.113	181.333	213.663	-	13.783
60900-60949-Medicaid Management Information System (MMIS) Escrow	167.580	5,950.057	5,849.702	-	267.935
60950-60999-Special Education	-	-	-	-	-
61000-61099-State University of New York Revenue Collection	510.404	(369.202)	-	-	141.202
61100-61999-State University Federal Direct Lending Program	(57.771)	158.161	102.901	-	(2.511)
62000-62049-SSI SSP Payment Escrow	-	-	-	-	-
TOTAL AGENCY FUNDS	3,407.893	7,507.238	7,843.380	-	3,071.751
TOTAL FIDUCIARY FUNDS	\$ 3,415.874	\$ 7,512.705	\$ 7,853.188	\$ -	\$ 3,075.391

SCHEDULE 4

STATE OF NEW YORK
 SOLE CUSTODY AND INVESTMENT ACCOUNTS
 STATEMENT OF CASH RECEIPTS AND DISBURSEMENTS
 FISCAL YEAR 2019-2020
 FOR THE MONTH OF FEBRUARY 2020
 (amounts in millions)

<u>FUND TYPE</u>	<u>BALANCE FEBRUARY 1, 2020</u>	<u>RECEIPTS</u>	<u>DISBURSEMENTS</u>	<u>BALANCE FEBRUARY 29, 2020</u>
ACCOUNTS				
70000-70049-Tobacco Settlement	\$ 2,872	\$ 0,004	\$ -	\$ 2,876
70093, 70095, 70300-70301-MTA State Assistance (*)	315,873	228,572	273,469	270,976
70050-70149-Sole Custody Investment (**)	2,528,037	5,579,073	5,811,248	2,295,862
70200-Comptroller's Refund Account	-	360,775	360,775	-
TOTAL ACCOUNTS	\$ 2,846,782	\$ 6,168,424	\$ 6,445,492	\$ 2,569,714

(*) See Footnotes

(**) Includes Public Asset Fund resources:

Chapter 1 of the Laws of 2002 authorized the conversion of Empire Health Choice, d/b/a Empire Blue Cross and Blue Shield from a not-for-profit corporation to a for-profit corporation. Chapter 1 requires, in part, that upon such conversion, assets representing 95 percent of the fair market value of the not-for-profit corporation be transferred to a fund designated as the "Public Asset Fund" and 5 percent transferred to a Charitable Foundation - as set forth in Section 7317 of the Insurance Law. On December 28, 2005, WellChoice, Inc. (previously known as Empire Blue Cross, Blue Shield) approved a takeover by WellPoint, Inc. This conversion was also subject to the same Chapter 1 requirements of assigning assets representing 95 percent of the fair market value of the not-for-profit corporation be transferred to the "Public Asset Fund".

As of February 29, 2020, \$9,503,035.46 (representing the remaining balance of the State's 95 percent share of the fair market value of the not-for-profit corporation plus interest) is on deposit in the sole custody account titled Public Asset Fund. In accordance with Section 4301(4)(f) and (o) of the Insurance Law and at the direction of the Director of the Budget, these funds are available for transfer to HCRA Resources Fund (20800-20849).

SCHEDULE 5

STATE OF NEW YORK
DEBT SERVICE FUNDS
STATEMENT OF DIRECT STATE DEBT ACTIVITY
FISCAL YEAR 2019-2020

PURPOSE	DEBT OUTSTANDING APRIL 1, 2019	DEBT ISSUED (*)		DEBT MATURED		DEBT OUTSTANDING FEBRUARY 29, 2020	INTEREST DISBURSED	
		MONTH OF FEBRUARY	11 MONTHS ENDED FEBRUARY 29, 2020	MONTH OF FEBRUARY	11 MONTHS ENDED FEBRUARY 29, 2020		MONTH OF FEBRUARY	11 MONTHS ENDED FEBRUARY 29, 2020
GENERAL OBLIGATION BONDED DEBT:								
Accelerated Capacity and Transportation Improvements	\$ 16,747,925	\$ -	\$ 155,155	\$ 4,737,344	\$ 5,457,617	\$ 11,445,463	\$ 142,892	\$ 631,951
Clean Water/Clean Air:								
Air Quality	2,465,600	-	(12,617)	462,736	657,629	1,795,354	28,743	70,903
Safe Drinking Water	-	-	-	-	-	-	-	-
Clean Water	321,372,381	-	2,863,627	15,339,930	24,017,982	300,218,026	2,592,537	10,910,601
Solid Waste	22,144,792	-	33,541	3,832,869	5,867,035	16,311,298	329,088	889,004
Environmental Restoration	46,724,919	-	(27,114)	2,374,693	3,658,056	43,039,749	152,265	1,317,231
Energy Conservation Through Improved Transportation: Rapid Transit and Rail Freight	1,352,815	-	-	-	154,061	1,198,754	-	55,667
Environmental Quality (1972):								
Air	6,247	-	-	3,063	3,063	3,184	125	250
Land and Wetlands	5,870,169	-	(795)	316,284	372,955	5,496,419	12,319	150,671
Water	10,826,301	-	109,856	56,783	4,475,735	6,460,422	16,869	303,309
Environmental Quality (1986):								
Land Acquisition/Development/Restoration/Forests	6,831,632	-	9,798	731,746	1,473,576	5,367,854	77,632	262,261
Solid Waste Management	107,613,085	-	287,704	7,567,374	14,955,816	92,944,973	434,885	3,859,562
Housing:								
Low Income	8,500,000	-	-	-	1,860,000	6,640,000	-	243,000
Middle Income	6,225,000	-	-	-	2,190,000	4,035,000	-	120,138
Park and Recreation Land Acquisition	-	-	-	-	-	-	-	-
Pure Waters	17,772,576	-	367,188	204,718	2,622,855	15,516,909	53,639	606,275
Rail Preservation Development	-	-	-	-	-	-	-	-
Rebuild and Renew New York Transportation:								
Highway Facilities	641,322,676	-	6,303,945	22,370,652	28,237,517	619,389,104	1,917,161	17,764,210
Canals and Waterways	11,884,363	-	-	493,592	976,600	10,907,763	72,090	351,790
Aviation	42,044,726	-	1,372,382	1,914,805	1,914,805	41,502,303	257,803	1,153,599
Rail and Port	94,745,141	-	3,009,919	3,908,712	3,908,712	93,846,348	778,455	2,761,701
Mass Transit - Dept. of Transportation	13,915,297	-	(39,774)	751,316	751,316	13,124,207	59,728	368,741
Mass Transit - Metropolitan Transportation Authority	721,891,399	-	11,348,989	6,879,257	13,226,070	720,014,318	2,983,980	22,177,484
Rebuild New York Transportation Infrastructure Renewal:								
Highways, Parkways, and Bridges	741,418	-	(1,804)	22,018	37,842	701,772	247	19,189
Rapid Transit, Rail and Aviation	2,597,617	-	-	-	555,054	2,042,563	-	112,617
Smart Schools Bond Act	179,020,225	-	-	9,437,108	9,437,108	169,583,117	2,251,632	6,478,767
Transportation Capital Facilities:								
Aviation	3,018,695	-	-	-	928,596	2,090,099	-	113,589
Mass Transportation	-	-	-	-	-	-	-	-
Total General Obligation Bonded Debt	\$ 2,285,634,999	\$ -	\$ 25,780,000	\$ 81,405,000	\$ 127,740,000	\$ 2,183,674,999	\$ 12,162,090	\$ 70,722,510

(*) Includes the net effect of the October 2019 refunding transaction of \$914,300,000, which was used to refund \$888,520,000 of previously issued general obligation bonds.

SCHEDULE 5a

STATE OF NEW YORK
DEBT SERVICE FUNDS
FINANCING AGREEMENTS
FOR THE ELEVEN MONTHS ENDED FEBRUARY 29, 2020

	DEBT REDUCTION RESERVE (40000-40049)	GENERAL DEBT SERVICE (40151)	DEPARTMENT OF HEALTH INCOME (40300-40349)	LOCAL GOVERNMENT ASSISTANCE TAX (40450-40499)	MENTAL HEALTH SERVICES (40100-40149)	REVENUE BOND TAX (40152)	SALES TAX REVENUE BOND TAX (40154)	COMBINED TOTALS		\$ INCREASE/ (DECREASE)
								11 MONTHS ENDED FEBRUARY 29 2020	2019	
Special Contractual Financing Obligations:										
Payments to Public Authorities:	\$	\$	\$	\$	\$	\$	\$	\$	\$	\$
City University Construction	-	71,889,337	-	-	-	-	-	71,889,337	106,180,968	(34,291,631)
Dormitory Authority:	-	-	-	-	-	-	-	-	-	-
Consolidated Service Contract Refunding	-	54,551,063	-	-	-	-	-	54,551,063	57,690,325	(3,139,262)
DASNY Revenue Bond	-	-	-	-	-	896,615,205	239,836,331	1,135,351,536	949,851,395	185,500,141
Department of Health Facilities	-	-	26,157,902	-	-	-	-	26,157,902	26,132,003	25,899
Mental Health Facilities	-	-	-	-	7,095,969	-	-	7,095,969	112,061,495	(104,965,526)
Secured Hospital Program	-	31,720,944	-	-	-	-	-	31,720,944	25,640,485	6,180,459
SUNY Community Colleges	-	5,928,700	-	-	-	-	-	5,928,700	4,586,528	1,342,172
SUNY Educational Facilities	-	18,022,938	-	-	-	-	-	18,022,938	17,145,625	877,313
Environmental Facilities Corporation	-	-	-	-	-	17,269,722	-	17,269,722	33,203,788	(15,934,066)
Housing Finance Agency	-	15,734,765	-	-	-	1,907,968	-	17,642,733	17,219,183	423,550
Local Government Assistance Corporation	-	-	-	-	-	-	-	-	27,129,517	(5,826,546)
Metropolitan Transportation Authority:	-	-	-	21,302,971	-	-	-	21,302,971	-	(35,457,621)
Transit and Commuter Rail Projects	-	-	-	-	-	-	-	-	-	-
Thruway Authority:	-	-	-	-	-	-	-	-	-	-
Dedicated Highway and Bridge	-	448,180,780	-	-	-	-	-	448,180,780	199,621,712	248,559,068
Local Highway and Bridge	-	21,772,000	-	-	-	-	-	21,772,000	36,892,075	(15,120,075)
Transportation	-	-	-	-	-	27,320,113	-	27,320,113	30,877,100	(3,556,987)
Urban Development Corporation:	-	-	-	-	-	-	-	-	-	-
Clarkson University	-	448,350	-	-	-	-	-	448,350	1,023,950	(575,600)
Columbia University, Telecommunications Center	-	-	-	-	-	-	-	-	2,777,000	(2,777,000)
Consolidated Service Contract Refunding	-	78,840,807	-	-	-	-	-	78,840,807	170,037,784	(91,196,977)
Cornell University, Supercomputer Center	-	-	-	-	-	-	-	-	365,000	(362,000)
Conditional Facilities	-	555,750	-	-	-	-	-	555,750	1,081,432	(525,682)
Debt Reduction Reserve	-	-	-	-	-	-	-	-	-	-
UDC Revenue Bond	-	-	-	-	-	92,438,900	-	-	424,841,311	(332,402,411)
University Facilities Grant 95 Refunding	-	1,770,144	-	-	-	-	-	1,770,144	963,972	784,172
Total Disbursements for Special Contractual Financing Obligations	\$ -	\$ 749,415,578	\$ 26,157,902	\$ 21,302,971	\$ 7,095,969	\$ 1,034,451,908	\$ 239,836,331	\$ 2,078,280,659	\$ 2,280,699,269	\$ (202,418,610)

STATE OF NEW YORK

SCHEDULE 6

SUMMARY OF THE OPERATING FUND INVESTMENTS

FOR THE MONTH OF FEBRUARY 2020

AS REQUIRED OF THE STATE COMPTROLLER

(amounts in millions)

	MONTH OF FEBRUARY 2020	FISCAL YEAR TO DATE	PRIOR FISCAL YEAR TO DATE
SHORT TERM INVESTMENT POOL (*)			
AVERAGE DAILY INVESTMENT BALANCE (**)	\$ 26,149.2	\$ 19,871.8	\$ 17,272.7
AVERAGE YIELD (**)	1.609%	2.085%	2.192%
TOTAL INVESTMENT EARNINGS	\$ 32.908	\$ 385.703	\$ 334.928

Month-End Portfolio Balances			
DESCRIPTION	FEBRUARY 2020 PAR AMOUNT	FEBRUARY 2019 PAR AMOUNT	
GOVT. AGENCY BILLS/NOTES	\$ 6,380.1	\$ 4,857.5	
REPURCHASE AGREEMENTS	374.2	30.8	
COMMERCIAL PAPER	16,066.9	15,829.0	
CERTIFICATES OF DEPOSIT/SAVINGS	2,942.3	2,961.9	
0% COMPENSATING BALANCE CDs	78.0	168.0	
	\$ 25,841.5	\$ 23,847.2	

(*) Pursuant to §98 of the State Finance Law, the State Comptroller is authorized to invest and keep invested all moneys, in any fund, held by the State. The Short Term Investment Pool (STIP) represents an accounting mechanism that allows for the separate accounting of individual funds (on deposit in the State's General Checking account) for the purpose of making short term investments. Pursuant to State Finance Law §4(5) the STIP is authorized to temporarily loan to the General Fund-State Operations Account (10050) funds for a period of four months or the end of the fiscal year, whichever is shorter. However, it must be noted that certain funds are invested as part of STIP, but are held by the State Comptroller in a fiduciary capacity. Fiduciary fund balances are restricted and may not be used for any State purposes since moneys in such funds are held by the State in a trustee (or fiduciary) capacity or as an agent for individuals, private organizations, or non-State governmental units (e.g. local governments and public authorities). Therefore, Fiduciary fund balances are not available to be temporarily loaned to the General Fund-State Operations Account. Fiduciary fund balances are presented in Schedules 3 and 4 of this report.

(**) Does not include 0% Compensating Balance CDs.

STATE OF NEW YORK HCRA RESOURCES FUND STATEMENT OF RECEIPTS AND DISBURSEMENTS BY ACCOUNT FISCAL YEAR 2019-2020													
	2019 APRIL	MAY	JUNE	JULY	AUGUST	SEPTEMBER	OCTOBER	NOVEMBER	DECEMBER	2020 JANUARY	FEBRUARY	MARCH	11 Months Ended February 29, 2020
OPENING CASH BALANCE	\$ -	\$ 543,140,525	\$ 283,562,198	\$ 300,393,092	\$ 420,298,155	\$ 136,965,831	\$ 79,863,323	\$ 152,028,064	\$ 223,908,390	\$ 213,101,187	\$ 230,456,814	\$ -	\$ -
RECEIPTS:													
Cigarette Tax	63,203,605	59,370,644	57,339,173	75,425,457	63,846,255	59,381,304	65,507,143	57,797,138	68,931,372	55,243,103	45,314,058		671,359,252
State Share of NYC Cigarette Tax	2,069,000	2,175,000	1,928,000	1,929,000	2,141,000	1,861,000	2,219,000	1,792,000	1,701,000	1,976,000	1,986,000		21,395,000
State Tax	-	-	-	-	-	-	-	-	-	-	-		1,000,000
STIP Interest	489,440	785,843	1,583,166	1,015,764	1,230,923	1,065,269	821,877	676,684	571,882	562,232	820,770		9,603,660
Public Asset Transfers	-	-	-	-	-	-	-	-	-	-	-		-
Assessments	533,324,883	443,523,673	423,216,328	484,280,029	436,582,470	465,016,162	453,744,940	389,383,657	448,018,093	481,298,926	446,061,871		5,014,353,032
Fees	404,000	903,000	2,574,000	312,000	84,000	887,000	280,000	47,000	2,545,000	579,000	97,000		8,822,000
Rebates	4,761,424	362,419	6,001,122	13,400,488	1,044,971	3,626,158	9,624,821	3,786,088	3,599,685	5,019,882	1,677,311		52,904,469
Restitution and Settlements	-	-	-	-	-	-	-	-	-	-	-		-
Miscellaneous	-	-	-	-	-	-	-	-	-	-	-		-
Total Receipts	604,232,352	507,120,579	492,644,789	598,392,738	504,339,619	531,944,893	532,197,881	453,382,567	525,367,042	544,681,143	495,572,465	-	5,778,442,868
DISBURSEMENTS:													
Grants	57,388,500	753,490,762	467,314,025	461,209,200	773,350,315	580,722,220	449,489,176	368,204,270	531,251,298	519,162,242	459,898,198		5,421,480,206
Interest - Late Payments	1,007	72	16	1,654	331	105	1,003	55	1,871	2,155	375		8,644
Personal Service	541,446	1,569,857	1,742,462	1,042,316	944,621	1,006,723	1,635,676	1,037,444	392,788	1,377,806	1,223,023		12,528,142
Non-Personal Service	1,746,620	3,414,743	4,043,595	3,156,138	2,726,729	2,156,664	7,461,050	3,537,859	4,073,856	5,203,488	12,474,057		49,984,789
Employee Benefits/Indirect Costs	345,719	445,042	1,682,905	662,367	602,434	591,118	630,960	828,183	220,952	1,158,044	628,572		7,797,297
Total Disbursements	60,023,292	758,940,476	474,783,004	466,071,675	777,624,430	584,476,839	459,217,865	373,608,811	535,940,745	526,897,735	474,224,225	-	5,491,809,088
OPERATING TRANSFERS:													
Transfers to Capital Projects Fund	-	-	-	-	-	-	-	-	-	-	-		-
Transfers to General Fund	-	-	26,968	-	-	-	-	-	233,500	-	-		260,468
Transfers to Revenue Bond Tax Fund	-	-	-	-	3,027,025	3,754,806	-	-	-	-	33,457,925		40,239,756
Transfers to Miscellaneous Special Revenue Fund	-	-	-	-	-	-	-	-	-	-	-		-
Administration Program Account	-	350,000	-	386,000	-	-	-	385,000	-	-	331,139		1,452,139
Empire State Stem Cell Trust Account	-	6,691,750	-	-	6,691,750	-	-	6,691,750	-	-	-		19,985,250
Transfers to SUNY Income Fund	1,088,535	746,680	1,000,923	-	958,738	815,785	815,075	846,680	-	427,781	1,954,853		9,635,030
Total Operating Transfers	1,088,535	7,758,430	1,027,891	386,000	10,647,513	4,570,571	815,075	7,893,430	233,500	427,781	35,743,917	-	70,572,843
Total Disbursements and Transfers	61,091,827	766,698,906	475,810,895	466,457,675	788,271,943	589,047,401	460,032,940	381,502,241	536,174,245	527,325,516	509,968,142	-	5,562,381,731
CLOSING CASH BALANCE	\$ 543,140,525	\$ 283,562,198	\$ 300,393,092	\$ 420,298,155	\$ 136,965,831	\$ 79,863,323	\$ 152,028,064	\$ 223,908,390	\$ 213,101,187	\$ 230,456,814	\$ 216,061,137	\$ -	\$ -

APPENDIX B

STATE OF NEW YORK
HCRA RESOURCES FUND
STATEMENT OF PROGRAM DISBURSEMENTS
FISCAL YEAR 2019-20

Program/Purpose	Appropriation Amount (*)	February	11 Months Ended February 29, 2020 (**)
CENTER FOR COMMUNITY HEALTH PROGRAM	\$ 8,752,000.00	\$ 218,750.29	\$ 2,810,246.72
CENTER FOR COMMUNITY HLTH	8,752,000.00	218,750.29	2,810,246.72
CHILD HEALTH INSURANCE PROGRAM	1,478,644,000.00	37,630,358.64	373,635,558.65
CHILD HEALTH INSURANCE	1,478,644,000.00	37,630,358.64	373,635,558.65
COMMUNITY SUPPORT PROGRAM	180,000.00	15,000.00	60,000.00
COMMUNITY SUPPORT	180,000.00	15,000.00	60,000.00
ELDERLY PHARMACEUTICAL INS COVERAGE PRG	426,154,811.52	5,703,810.02	101,289,355.90
ELDERLY PHARMACEUTICAL INSURANCE COVERAGE	426,154,811.52	5,703,810.02	101,289,355.90
HEALTH CARE REFORM ACT PROGRAM	2,160,773,305.03	12,123,486.23	341,023,285.75
AIDS DRUG ASSISTANCE	203,250,000.00	-	20,000,000.00
AMBULATORY CARE TRAINING	13,520,000.00	214,547.09	1,254,251.06
AREA HEALTH EDUCATION CENTER	7,063,000.00	470,819.48	1,331,284.10
COMMISSIONER EMERGENCY DISTRIBUTIONS	24,700,000.00	2,273,463.58	3,981,939.32
DIAGNOSTIC AND TREATMENT CTR UNCOMPENSATED CARE	272,000,000.00	26,649.00	41,250,033.00
DIVERSITY IN MEDICINE	5,232,000.00	565,384.00	1,288,673.00
EMPIRE CLINIC RESEARCH INVESTMENT (ECRIP)	13,780,000.00	-	3,444,996.00
HCRA PAYOR / PROVIDER AUDITS	9,440,000.00	10,298.74	3,806,000.00
HEALTH FACILITY RESTRUCTURING DASNY	39,200,000.00	-	19,600,000.00
HEALTH WORKFORCE RETRAINING	210,010,300.00	1,330,889.93	5,314,296.54
INFERTILITY SERVICES GRANTS	24,781,746.00	296,004.20	845,643.09
MEDICAL INDEMNITY FUND	208,000,000.00	-	52,000,000.00
PART 405.4 HOSPITAL AUDITS NYCRR	2,200,000.00	67,461.34	617,393.55
PHYSICIAN EXCESS MEDICAL MALPRACTICE	382,200,000.00	1,160,467.00	105,100,000.00
PHYSICIAN LOAN REPAYMENT	34,465,000.00	-	7,656,120.84
PHYSICIAN PRACTICE SUPPORT	1,000,000.00	-	-
PHYSICIAN WORKFORCE STUDIES	27,825,000.00	-	487,000.00
POISON CONTROL CENTERS	3,954,200.00	187,000.00	1,642,909.72
POOL ADMINISTRATION	8,440,000.00	783,613.94	1,406,112.00
ROSWELL PARK COMPREHENSIVE CANCER CENTER	5,300,000.00	-	51,303,000.00
RURAL HEALTH CARE ACCESS	102,606,000.00	-	-
RURAL HEALTH NETWORK	50,000.00	-	-
SCHOOL BASED HEALTH CENTERS	34,550,000.00	3,003,389.03	7,400,764.65
SCHOOL BASED HEALTH CLINICS-POOL ADMIN	22,990,000.00	1,713,498.90	4,947,878.88
TRANSITION ACCT - PRIOR YEAR ALLOCATION	4,230,000.00	-	2,115,000.00
TRANSITION ACCT - PRIOR YEAR ALLOCATION	8,460,000.00	-	4,230,000.00
MEDICAL ASSISTANCE PROGRAM	489,526,059.03	-	-
HOME HEALTH RATE INCREASE	28,338,830,000.00	408,836,343.56	4,632,344,727.93
MEDICAID INDIGENT CARE	300,000,000.00	50,000,000.00	50,000,000.00
MEDICAL ASSISTANCE	5,348,000,000.00	61,636,343.56	854,144,727.93
PSNL CRE WRKR RECR & RETEN NYC (**)	21,806,630,000.00	150,000,000.00	3,581,000,000.00
PSNL CRE WRKR RECR & RETEN ROS (***)	816,000,000.00	136,000,000.00	136,000,000.00
NEW YORK STATE OF HEALTH	67,200,000.00	11,200,000.00	11,200,000.00
OFFICE OF HEALTH INSURANCE PROGRAM	53,398,000.00	10,006,430.98	31,489,834.49
OFFICE OF HEALTH INSURANCE	53,398,000.00	10,006,430.98	31,489,834.49
OFFICE OF HEALTH SYSTEMS MANAGEMENT	1,834,000.00	-	-
OFFICE OF HEALTH SYSTEMS MANAGEMENT	60,490,924.85	1,380,490.71	13,772,906.81
OFFICE OF LONG TERM CARE	2,477,800.00	1,380,490.71	13,772,906.81
ADULT HOME INITIATIVE	2,477,800.00	-	-
REVENUE, PROCESSING & RECONCILIATION	8,190,000.00	263,313.11	4,008,328.98
REVENUE, PROCESSING & RECONCILIATION	8,190,000.00	263,313.11	4,008,328.98
TOTAL	\$ 32,539,724,841.40	\$ 476,177,983.54	\$ 5,500,444,245.23
Redclass of SUNY Hospital Disprop Share to Transfer	-	-	(8,635,030.41)
Redclass of SUNY Hospital Poison Control Centers to Transfer	-	-	-
Redclass of SUNY Empire Clinical Research Investigator Program to Transfer	-	-	-
Reconciling Adjustment (P-Card and T-Card)	-	-	-
TOTAL REPORTED AMOUNT	\$ 32,539,724,841.40	\$ 474,224,225.34	\$ 5,491,809,087.94

(*) Includes amounts appropriated in SFY 2019-20, as well as prior year appropriations that were reappropriated.

(**) Disbursements from the HCRA Resources Fund includes direct grant payments to program beneficiaries, services and expenses for administration of grant programs, and transfers to the Public Goods Pool to finance payments made by the State's fiscal agent.

(***) Full title is: NYC Personal Care Workforce Recruitment and Retention Rates Grants.

(****) Full title is: Personal Care Workforce Recruitment and Retention Rates Grants.

APPENDIX C

STATE OF NEW YORK
STATEMENT OF CASH FLOW - PUBLIC GOODS POOL
FISCAL YEAR 2019-20

OPENING CASH BALANCE

RECEIPTS:

Patient Services
Covered Lives
Provider Assessments
1% Assessments
DASNY - MOE/Recast receivables
Interest Income
Unassigned
Total Receipts

PROGRAM DISBURSEMENTS:

Poison Control Centers
School Based Health Center Grants
ECRIP Distributions
Total Program Disbursements

Excess (Deficiency) of Receipts over Disbursements

OTHER FINANCING SOURCES (USES):

Transfers From Other Pools:
Medicaid Disproportionate Share
Health Facility Assessment Fund - Hospital Quality Contribution
Transfers From State Funds:
HCRA Resources Fund
Total Other Financing Sources

Transfers To Other Pools:

Medicaid Disproportionate Share
Health Facility Assessment Fund

Transfers To State Funds:

HCRA Resources Fund
Indigent Care Fund - Matched
Indigent Care Fund - Unmatched
Total Other Financing Uses

Excess (Deficiency) of Receipts and Other Financing Sources
over Disbursements and Other Financing Uses

CLOSING CASH BALANCE

Source: HCRA - Office of Pool Administration

	1st Quarter APRIL - JUNE	2nd Quarter JULY - SEPTEMBER	3rd Quarter OCTOBER - DECEMBER	2020 JANUARY	2020 FEBRUARY	2019-20
OPENING CASH BALANCE	\$ 284,899,772.70	\$ 217,136,341.70	\$ 349,275,252.28	\$ 362,704,232.36	\$ 333,687,033.82	\$ 284,899,772.70
RECEIPTS:						
Patient Services	901,482,254.94	1,104,136,349.72	906,738,478.92	311,479,097.10	198,380,338.48	3,422,216,519.16
Covered Lives	257,819,074.40	303,187,529.45	261,374,155.15	84,047,137.43	55,082,569.15	961,510,465.58
Provider Assessments	33,710,660.47	38,718,319.01	27,667,375.62	9,255,798.32	5,844,413.85	115,196,567.27
1% Assessments	101,375,334.00	108,247,260.00	107,445,313.00	34,115,797.00	35,874,233.00	387,057,937.00
DASNY - MOE/Recast receivables	-	-	-	-	-	-
Interest Income	214,148.16	222,300.29	127,867.18	38,925.17	29,150.50	632,391.30
Unassigned	25,420,354.00	(25,438,913.00)	2,006,523.00	9,104,156.12	(11,147,586.38)	(55,466.26)
Total Receipts	1,320,021,825.97	1,529,072,845.47	1,305,359,712.87	448,040,911.14	284,063,118.60	4,886,556,414.05
PROGRAM DISBURSEMENTS:						
Poison Control Centers	-	-	(2,400,000.00)	-	-	(2,400,000.00)
School Based Health Center Grants	-	-	(4,230,000.00)	-	-	(4,230,000.00)
ECRIP Distributions	-	-	(3,444,996.00)	-	-	(3,444,996.00)
Total Program Disbursements	-	-	(10,074,996.00)	-	-	(10,074,996.00)
Excess (Deficiency) of Receipts over Disbursements	1,320,021,825.97	1,529,072,845.47	1,295,284,716.87	448,040,911.14	284,063,118.60	4,876,483,418.05
OTHER FINANCING SOURCES (USES):						
Transfers From Other Pools:						
Medicaid Disproportionate Share	-	-	-	-	-	-
Health Facility Assessment Fund - Hospital Quality Contribution	12,273,811.00	12,910,960.00	12,842,986.00	4,239,323.00	4,382,154.00	46,649,234.00
Transfers From State Funds:						
HCRA Resources Fund	-	-	10,074,996.00	-	-	10,074,996.00
Total Other Financing Sources	12,273,811.00	12,910,960.00	22,917,982.00	4,239,323.00	4,382,154.00	56,724,230.00
Transfers To Other Pools:						
Medicaid Disproportionate Share	-	-	-	-	-	-
Health Facility Assessment Fund	-	-	-	-	-	-
Transfers To State Funds:						
HCRA Resources Fund	(1,211,212,716.72)	(1,061,871,734.43)	(1,136,233,577.68)	(394,234,112.13)	(384,548,582.10)	(4,188,100,723.06)
Indigent Care Fund - Matched	(189,777,239.46)	(325,895,043.33)	(168,654,356.44)	(82,349,151.89)	(61,745,762.88)	(828,421,554.00)
Indigent Care Fund - Unmatched	930,888.21	(22,078,117.13)	114,215.33	(4,714,168.66)	236,537.88	(25,510,644.37)
Total Other Financing Uses	(1,400,059,067.97)	(1,409,844,894.89)	(1,304,773,718.79)	(481,297,432.68)	(446,057,807.10)	(5,042,032,921.43)
Excess (Deficiency) of Receipts and Other Financing Sources over Disbursements and Other Financing Uses	(67,763,431.00)	132,138,910.58	13,428,980.08	(29,017,196.54)	(157,612,534.50)	(108,825,273.39)
CLOSING CASH BALANCE	\$ 217,136,341.70	\$ 349,275,252.28	\$ 362,704,232.36	\$ 333,687,033.82	\$ 176,074,499.32	\$ 176,074,499.32

APPENDIX D

STATE OF NEW YORK
STATEMENT OF CASH FLOW - MEDICAID DISPROPORTIONATE SHARE
FISCAL YEAR 2019-20

	1st Quarter APRIL - JUNE	2nd Quarter JULY - SEPTEMBER	3rd Quarter OCTOBER - DECEMBER	2020 JANUARY	2020 FEBRUARY	2019-20
OPENING CASH BALANCE	\$ 2,224.49	\$ 1,198.39	\$ 9,008.14	\$ 1,493.26	\$ 4,063.85	\$ 2,224.49
RECEIPTS:						
Interest Income	4,789.67	11,549.28	2,275.18	4,063.85	584.51	23,262.49
Total Receipts	4,789.67	11,549.28	2,275.18	4,063.85	584.51	23,262.49
PROGRAM DISBURSEMENTS:						
Indigent Care	(189,777,239.46)	(223,008,636.27)	(168,828,419.44)	(85,507,670.89)	(61,745,762.88)	(728,867,728.94)
High Need Indigent Care	-	-	-	-	-	-
Other	945,583.86	(120,704,277.72)	2,596,349.33	168,868.34	236,537.88	(116,756,938.31)
Total Program Disbursements	(188,831,655.60)	(343,712,913.99)	(166,232,070.11)	(85,338,802.55)	(61,509,225.00)	(845,624,667.25)
Excess (Deficiency) of Receipts over Disbursements	(188,826,865.93)	(343,701,364.71)	(166,229,794.93)	(85,334,738.70)	(61,508,640.49)	(845,601,404.76)
OTHER FINANCING SOURCES (USES):						
Transfers From Other Pools:						
Public Goods Pool	-	-	-	-	-	-
Health Facility Assessment Fund	-	-	-	-	-	-
Transfers From State Funds:						
HCRA Resources Indigent Care - Matched	94,888,619.73	162,947,521.68	84,327,178.22	41,174,575.95	30,872,881.44	414,210,777.02
HCRA Resources Indigent Care - Unmatched	(930,888.21)	20,125,941.66	(114,215.33)	2,989,650.66	(236,537.88)	21,833,950.90
HCRA Resources Indigent Care - ATB	-	-	-	-	-	-
Federal DHHS Fund	94,888,619.73	162,947,521.65	84,327,178.22	41,174,575.94	30,872,881.44	414,210,776.98
Other	-	-	-	-	-	-
Total Other Financing Sources	188,846,351.25	346,020,984.99	168,540,141.11	85,338,802.55	61,509,225.00	850,255,504.90
Transfers To Other Pools:						
Public Goods Pool	-	-	-	-	-	-
Health Facility Assessment Fund	-	-	-	-	-	-
Transfers To State Funds:						
HCRA Resources Fund Indigent Care Act	(20,511.42)	(2,311,810.53)	(2,317,861.06)	(1,493.26)	(4,063.85)	(4,655,740.12)
Total Other Financing Uses	(20,511.42)	(2,311,810.53)	(2,317,861.06)	(1,493.26)	(4,063.85)	(4,655,740.12)
Excess (Deficiency) of Receipts and Other Financing Sources over Disbursements and Other Financing Uses	(1,026.10)	7,809.75	(7,514.88)	2,570.59	(3,479.34)	(1,639.98)
CLOSING CASH BALANCE	\$ 1,198.39	\$ 9,008.14	\$ 1,493.26	\$ 4,063.85	\$ 584.51	\$ 584.51

Source: HCRA - Office of Pool Administration

APPENDIX E

STATE OF NEW YORK
SUMMARY OF OFF-BUDGET SPENDING REPORT
FISCAL YEAR 2019-2020
(amounts in thousands)

	2019 APRIL	2019 MAY	2019 JUNE	2019 JULY	2019 AUGUST	2019 SEPTEMBER	2019 OCTOBER	2019 NOVEMBER	2019 DECEMBER	2020 JANUARY	2020 FEBRUARY	2020 MARCH	2019-2020 TOTAL
DORMITORY AUTHORITY:													
Education - All Other	\$ -	\$ 21	\$ -	\$ -	\$ 25	\$ 1	\$ -	\$ -	\$ -	\$ 10	\$ 3	\$ -	\$ 72
Education - EXCEL	-	2,109	221	2,703	2,354	1,566	789	-	202	-	-	-	9,944
Department of Health - All Other	-	-	-	-	51	3	-	-	-	1	-	-	55
Community Enhancement Facilities Assistance Program (CEFAP)	-	-	-	-	-	-	-	-	-	-	-	-	-
Regional Development	-	-	-	-	-	-	-	-	-	-	-	-	-
Community Capital Assistance Program (CCAP)/RESTORE	647	1,183	11	788	309	590	242	368	677	387	414	-	5,616
Multi-modal	37	-	-	-	-	-	-	-	-	-	-	-	37
GenNysis	-	-	-	-	-	-	-	-	-	-	-	-	-
CUNY Senior Colleges	19,134	18,022	14,341	23,762	10,916	28,143	20,932	9,312	27,400	36,283	14,788	-	223,033
CUNY Community Colleges	2,965	2,554	975	5,101	780	5,980	4,606	3,607	5,800	3,449	1,715	-	37,532
CUNY Dormitories	-	-	-	-	-	-	-	-	-	-	-	-	-
Upstate Community Colleges	-	-	-	-	-	-	-	-	-	-	-	-	-
Mental Health	9,238	13,563	4,697	25,605	5,907	28,243	14,194	4,498	18,956	7,468	3,558	-	135,927
Developmental Disabilities	1,109	1,614	462	2,044	682	2,065	1,870	1,865	2,315	2,173	868	-	17,067
Alcoholism and Substance Abuse	158	274	190	302	304	671	162	233	429	215	116	-	3,054
Brooklyn Court Officer Training Academy	23	36	-	192	-	780	39	2	1	-	-	-	1,073
TOTAL DORMITORY AUTHORITY	33,311	39,376	20,897	60,522	21,304	68,041	42,846	19,885	55,790	49,979	21,459	-	433,410
EMPIRE STATE DEVELOPMENT CORP:													
Regional Development	-	-	-	-	-	-	-	-	-	-	-	-	-
Centers of Excellence	-	-	-	-	-	-	-	-	-	-	-	-	-
Community Capital Assistance Program (CCAP)	-	-	-	-	-	-	-	-	-	-	-	-	-
Empire Opportunity	-	-	-	-	-	-	-	-	-	-	-	-	-
Community Enhancement Facilities Assistance Program (CEFAP)	-	-	-	-	-	-	-	-	-	-	-	-	-
State Facilities and Equipment	-	-	-	-	-	-	-	-	-	-	-	-	-
TOTAL EMPIRE STATE DEVELOPMENT CORP	-	-	-	-	-	-	-	-	-	-	-	-	-
TOTAL OFF-BUDGET	\$ 33,311	\$ 39,376	\$ 20,897	\$ 60,522	\$ 21,304	\$ 68,041	\$ 42,846	\$ 19,885	\$ 55,790	\$ 49,979	\$ 21,459	\$ -	\$ 433,410

The Division of the Budget (DOB) is responsible for organizing and presenting the above schedule of 'Off Budget Spending'. Such reported disbursements are drawn from unaudited financial data provided by public authorities. Although the Office of the State Comptroller (OSC) has no reason to believe this information to be unreliable, it is important to note that these program disbursements are financed with public authority bond proceeds deposited directly into public authority accounts and all disbursements are made without any oversight by the OSC. Therefore, and pursuant to the provisions of Chapter 60, §16, of the Laws of 2006; this schedule is provided for information only.

APPENDIX F

STATE OF NEW YORK
SCHEDULE OF MONTH-END TEMPORARY LOANS OUTSTANDING(*)

SFS Fund	ACCOUNT TITLE	November 30, 2019		December 31, 2019		January 31, 2020		Change		February 29, 2020	
		\$	-	\$	-	\$	-	\$	-	\$	-
10050	STATE OPERATIONS AND LOCAL ASSISTANCE	116,902,614.07	-	160,459,011.65	-	101,356,877.40	-	(64,213,950.04)	-	37,142,927.36	-
	TOTAL GENERAL FUND										
30051	CAPITAL PROJECT AND BOND REIMBURSABLE FUNDS										
30053	HIGHWAY AND BRIDGE CAPITAL										
30101	AVIATION PURPOSE ACCOUNT										
30102	REHAB/REPAIR MARITIME										
30103	D21RVE- MARITIME										
30104	D36RVE- CENTRAL ADMIN										
30105	RESIDENCE HALL CAMPUS LET BOND PROCEEDS										
30106	REHAB/REPAIR ALBANY										
30107	D01RVE- ALBANY										
30108	REHAB/REPAIR BINGHAMTON										
30109	D07RVE- BINGHAMTON										
30110	REHAB/REPAIR BUFFALO UNIVERSITY										
30111	D28RVE- SUNY BUFFALO										
30112	REHAB/REPAIR STONYBROOK										
30113	D13RVE- STONYBROOK										
30114	REHAB/REPAIR BROOKLYN										
30115	D14RVE- HSC BROOKLYN										
30116	REHAB/REPAIR STRACUSE										
30117	D15RVE- HSC STRACUSE										
30118	REHAB/REPAIR BROCKPORT										
30119	D02RVE- BROCKPORT										
30120	REHAB/REPAIR BUFFALO COLLEGE										
30121	D03RVE- SUB BUFFALO										
30122	REHAB/REPAIR CORTLAND										
30123	D04RVE- CORTLAND										
30124	REHAB/REPAIR FREDONIA										
30125	D05RVE- FREDONIA										
30126	REHAB/REPAIR GENESEO										
30127	D06RVE- GENESEO										
30128	REHAB/REPAIR OLD WESTBURY										
30129	D31RVE- OLD WESTBURY										
30130	REHAB/REPAIR NEW PALTZ										
30131	D08RVE- NEW PALTZ										
30132	REHAB/REPAIR ONEONTA										
30133	D09RVE- ONEONTA										
30134	REHAB/REPAIR OSWEGO										
30135	D10RVE- OSWEGO										
30136	REHAB/REPAIR PLATTSBURGH										
30137	D11RVE- PLATTSBURGH										
30138	REHAB/REPAIR POTSDAM										
30139	D12RVE- POTSDAM										
30140	REHAB/REPAIR PURCHASE										
30141	D38RVE- PURCHASE										
30142	REHAB/REPAIR FOR UTICA/ROME										
30143	D27RVE- CAMPUS RESERVE										
30144	REHAB/REPAIR ALFRED										
30145	D22RVE- ALFRED										
30146	REHAB/REPAIR CANTON										
30147	D23RVE- CANTON										
30148	REHAB/REPAIR COBLESKILL										
30149	D24RVE- COBLESKILL										
30150	REHAB/REPAIR DELHI										
30151	D25RVE- DELHI										
30152	REHAB/REPAIR FARMINGDALE										
30153	D26RVE- FARMINGDALE										
30154	REHAB/REPAIR MORRISVILLE										
30155	D27RVE- MORRISVILLE										
30501	STATE PARK INFRASTRUCTURE										
30502	CWICA IMPLEMENTATION DEC										
30503	CWICA IMPLEMENTATION STATE										
30504	CWICA IMPLEMENTATION EFC										
31701	HAZARDOUS WASTE CLEAN UP										
31801	YOUTH FACILITIES IMPROVEMENT										
31851	HOUSING ASSISTANCE										
31852	HOUSING PROG FD-HSG TR FD CORP										
31853	HOUSING PROG FD AFFORD HSG CORP										
31854	HOUSING PROG FD-DEPT OF SOCIAL SERVICES										
31951	HOUSING PROG FD-DEPT OF SOCIAL SERVICES										
	HIGHWAY FAC PURPOSE										

APPENDIX F

STATE OF NEW YORK
SCHEDULE OF MONTH-END TEMPORARY LOANS OUTSTANDING(*)

SFS Fund	ACCOUNT TITLE	November 30, 2019	December 31, 2019	January 31, 2020	Change	February 29, 2020
32213	NY RACING ACCOUNT	153,750.00	153,750.00	153,750.00	-	153,750.00
32214	CAPITAL PROJECT MISC GIFTS	-	-	-	-	-
32215	IT CAPITAL FINANCING ACCT	-	-	594,984.35	972,501.06	1,567,485.41
32219	NY ENVIRONMENTAL PROTECTION & SPILL REMEDIATION	-	160,034.24	-	-	-
32301	OPWDD-STATE FACILITIES PRE 12/99	-	-	-	-	-
32302	DSAS-COMMUNITY FACILITIES	-	-	-	-	-
32303	OMH-COMMUNITY FACILITIES	122,972,708.42	125,288,703.86	128,573,474.09	(2,747,104.54)	125,826,369.55
32304	OPWDD-COMMUNITY FACILITIES	-	-	-	-	-
32305	OASAS-COMMUNITY FACILITIES	195,514,343.74	183,312,447.64	182,694,881.12	4,751,500.00	187,446,381.12
32306	DASNY - OMH ADMIN	-	-	-	-	-
32307	DASNY - OPWDD ADMIN	2,895,339.49	2,895,339.49	2,891,378.39	1,114,200.00	4,005,578.39
32308	DASNY - OASAS ADMIN	883,591.20	883,591.20	883,591.20	-	883,591.20
32309	OMH-STATE FACILITIES	76,418,255.99	91,113,558.66	67,717,251.42	5,704,473.80	73,421,725.22
32310	OPWDD-STATE FACILITIES	5,575,843.38	5,575,843.38	7,021,897.38	4,000,000.00	11,021,897.38
32311	OASAS-STATE FACILITIES	0.38	119,787.38	119,787.38	-	119,787.38
32351	CORR. FACILITIES CAPITAL IMPROVEMENT	-	-	-	-	-
32352	DOCS-REHABILITATION PROJECTS	256,357,272.49	304,140,709.46	340,430,808.72	35,532,547.48	375,963,356.20
32353	CORR. FACILITIES CAPITAL CLOSURE	-	-	-	-	-
33001	STORM RECOVERY ACCOUNT	51,563,160.90	50,141,798.57	50,492,394.66	(2,523,334.46)	47,969,060.20
	TOTAL CAPITAL AND BOND REIMBURSABLE FUNDS	1,320,385,301.82	1,437,338,216.40	1,283,958,731.82	(33,958,742.17)	1,229,999,989.65
STATE SPECIAL REVENUE FUNDS						
20401	DOL-CHILD PERFORMER PROTECTION ACCOUNT	-	-	-	-	-
20452	VOCATIONAL SCHOOL SUPERVISION	-	-	-	-	-
20501	LOCAL GOVERNMENT RECORDS MGMT	-	-	-	-	-
20810	CHILD HEALTH INSURANCE	6,065,650.36	85,137,572.74	146,015,200.01	(112,389,641.36)	33,645,558.65
20818	EPIC PREMIUM ACCOUNT	-	1,661,511.82	8,404,887.74	-	-
20801	LOTTERY-EDUCATION	1,028,717,790.91	868,816,291.61	667,698,197.24	(180,002,072.17)	507,696,125.07
20904	VLT EDUCATION	-	-	-	-	-
21001	ENVIR FAC CORP ADM ACCT	-	-	-	-	-
21002	ENCON ADMIN ACCT	3,901,061.04	3,965,524.62	4,055,490.85	64,463.58	4,119,954.43
21061	HAZARDOUS BULK STORAGE	-	-	-	-	-
21064	UTILITY ENVIRONMENTAL REGULATORY ACCOUNT	1,672,200.00	1,672,200.00	1,672,200.00	1,638,599.99	3,310,799.99
21065	FEDERAL GRANTS INDIRECT COST RECOVERY ACCOUNT	1,793,264.08	251,602.83	2,513,420.31	(2,513,420.31)	-
21066	ENCON-LOW LEVEL RADIOACTIVE WASTE SITING	3,732,771.93	4,007,448.72	4,268,525.68	(220,468.67)	4,048,057.01
21067	ENCON-RECREATION	-	-	-	-	-
21077	PUBLIC SAFETY RECOVERY ACCOUNT	-	-	-	-	-
21081	ENVIRONMENTAL REGULATORY	52,133,743.19	55,106,075.88	54,736,966.36	824,715.54	55,561,681.90
21082	NATURAL RESOURCES ACCOUNT	13,048,633.44	13,338,043.81	13,612,567.52	109,104.33	13,721,671.85
21084	MINED LAND RECLAMATION ACCT	-	-	-	-	-
21087	GREAT LAKES RESTORATION INITIATIVE	-	-	-	-	-
21201	AUDIT AND CONTROL OIL SPILL	15,971.23	-	-	-	-
21202	HEALTH DEPT OIL SPILL	3,545.60	-	-	-	-
21203	DEPT OF ENVIRONMENTAL CONSERVATION OIL SPILL	435,038.67	573.66	4,541.48	2,239.80	6,781.28
21204	OIL SPILL COMPENSATION	-	-	-	-	-
21205	LICENSE FEE SURCHARGES	-	-	-	-	-
21401	PUBLIC TRANSPORTATION SYSTEMS	-	-	-	-	-
21402	METROPOLITAN MASS TRANSPORTATION	131,523,653.70	388,742,781.71	249,617,851.74	4,278,535.34	4,278,535.34
21451	OPERATING PERMIT PROGRAM	28,429,771.26	28,958,353.10	29,694,305.95	(117,001,744.15)	132,616,107.59
21452	MOBILE SOURCE	3,436,670.45	5,505,463.36	1,952,029.98	705,273.20	30,389,579.15
21902	HEALTH-SPARC'S	-	-	-	-	1,781,901.39
21905	THRUWAY AUTHORITY ACCT	12,364,465.48	12,171,679.42	6,674,357.69	32,559.54	6,706,917.23
21907	MENTAL HYGIENE PROGRAM	-	-	-	-	-
21909	FINANCIAL CONTROL BOARD	468,407.45	638,271.39	949,013.99	-	-
21911	RACING REGULATION ACCOUNT	2,298,616.56	2,473,872.03	2,111,712.85	199,324.61	1,148,338.60
21912	NY METROPOLITAN TRANSPORTATION COUNCIL	-	-	-	512,368.89	2,624,081.74
21937	SU DORM INCOME REIMBURSE	209,701.05	130,609.92	196,416.20	-	-
21945	CRIMINAL JUSTICE IMPROVEMENT	-	-	-	185,740.83	382,157.03
21959	ENV LAB REF FEE	-	-	-	-	-
21961	TRAINING, MANAGEMENT AND EVALUATION ACCOUNT	498,612.55	392,187.75	443,090.56	33,613.97	476,704.53
21962	INDIRECT COST RECOVERY	10,295,608.82	10,898,480.76	9,824,252.13	566,261.44	10,390,513.57
21978	HIGH SCHOOL EQUIVALENCY PROGRAM	-	-	-	324,002.82	324,002.82
21979	BELL JAR COLLECTION ACCOUNT	-	-	-	-	-
21989	MULTI - AGENCY TRAINING ACCOUNT	-	-	-	-	-
22003	INDUSTRY AND UTILITY SERVICE	-	-	-	-	-
22004	REAL PROPERTY DISPOSITION	-	-	-	-	-
22006	PARKING ACCOUNT	-	-	-	-	-
22007	COURTS SPECIAL GRANTS	-	-	-	-	-
22008	ASBESTOS SAFETY TRAINING	1,599.03	-	-	-	-
22009	CAMP SMITH BILLETING ACCOUNT	-	-	-	-	-
22032	BATAVIA SCHOOL FOR THE BLIND	13,870,087.47	14,615,364.59	15,294,564.95	905,092.44	16,199,657.39
22034	INVESTMENT SERVICES	-	-	-	-	-

APPENDIX F

STATE OF NEW YORK
SCHEDULE OF MONTH-END TEMPORARY LOANS OUTSTANDING(*)

SFS Fund	ACCOUNT TITLE	November 30, 2019	December 31, 2019	January 31, 2020	Change	February 29, 2020
22036	SURPLUS PROPERTY ACCOUNT	-	-	-	-	-
22039	FINANCIAL OVERSIGHT	618,347.29	893,363.42	1,228,822.38	273,556.72	1,502,379.10
22046	REGULATION INDIAN GAMING	86,752,888.35	87,394,247.57	87,928,101.56	877,834.79	88,805,936.35
22053	ROME SCHOOL FOR THE DEAF	5,413,280.09	6,013,689.05	6,911,998.05	597,289.63	7,509,287.68
22054	DSP-SEIZED ASSETS	2,076,562.27	1,936,614.55	1,595,189.30	(55,053.98)	1,540,135.32
22055	ADMINISTRATIVE ADJUDICATION	23,178,283.24	15,557,323.95	19,334,200.03	3,245,368.58	22,579,568.61
22056	FEDERAL SALARY SHARING	1,380,258.31	1,487,860.68	1,622,403.61	221,245.34	1,843,648.95
22062	NYC ASSESSMENT ACCT	-	6,487,072.15	6,241,592.54	(1,403,320.76)	4,838,271.78
22063	CULTURAL EDUCATION ACCOUNT	-	-	-	-	-
22078	LOCAL SERVICE ACCOUNT	15,750,007.78	15,913,892.71	16,065,282.10	152,022.26	16,217,304.36
22085	DHCR MORTGAGE SERVICES	-	-	-	-	-
22090	HOUSING INDIRECT COST RECOVERY	-	-	-	-	-
22100	DHCR-HOUSING CREDIT AGENCY APPLY FEE	-	-	-	-	-
22130	LOW INCOME HOUSING CREDIT MONITORING	7,824,700.25	8,004,967.57	7,514,507.15	274,366.51	7,788,873.66
22135	EFC-CORPORATION ADMINISTRATION	-	-	-	-	-
22144	MONTROSE VETERAN'S HOME	227,840.84	-	-	-	-
22151	DEFERRED COMPENSATION ADMIN	72,792.80	125,254.96	188,949.67	(120,638.17)	68,311.50
22156	RENT REVENUE	-	-	-	-	-
22158	TAX REVENUE	-	-	-	-	-
22168	TAX REVENUE ARREARAGE ACCOUNT	-	-	-	-	-
22240	NY'S MEDICAL INDEMNITY FUND ACCOUNT	154,015.36	248,436.34	348,203.64	83,446.55	432,650.19
22654	S.U. NON-RESIDENT REV. OFFSET	20,494,562.62	20,525,439.94	20,555,112.16	29,023.63	20,594,135.61
22751	LAKE GEORGE PARK TRUST FUND	-	-	-	-	-
22802	STATE POLICE MW ENFORCE	-	-	-	-	-
23001	DOT - HIGHWAY SAFETY PRGM	14,378,726.59	14,771,072.30	14,852,458.31	(478,954.87)	14,373,503.44
23102	DOH DRINKING WATER PROGRAM	5,350,949.70	5,350,949.70	5,350,949.70	-	5,350,949.70
23151	NYCCC OPERATING OFFSET	50,962,024.83	53,519,944.22	55,941,074.32	2,501,528.00	58,442,602.32
23701	COMMERCIAL GAMING REVENUE	-	-	-	-	-
23702	COMMERCIAL GAMING REGULATION	-	-	-	-	-
23800	INTERSTATE RECIPROCITY FOR POST SEC DIST ED	16,485,452.16	16,869,883.76	17,270,317.05	394,330.69	17,664,647.74
23801	HIGHWAY USE TAX ADMIN	-	-	-	-	-
23806	NY'S SECURE CHOICE ADMIN	-	-	-	-	-
24951	FANTASY SPORTS ADMINISTRATION	-	-	-	-	-
	TOTAL STATE SPECIAL REVENUE FUNDS	1,572,835,613.99	1,723,583,922.59	1,482,679,754.82	(383,708,421.75)	1,098,971,333.07
	FEDERAL FUNDS					
25000-25099	FEDERAL USDA/FOOD AND NUTRITION SERVICES FUND	22,138,247.24	15,287,528.46	10,840,969.80	4,962,959.79	15,803,929.59
25100-25199	FEDERAL HEALTH AND HUMAN SERVICES FUND	211,306,904.22	638,635,417.45	481,027,379.27	(342,391,397.51)	138,635,981.76
25200-25249	FEDERAL EDUCATION GRANTS FUND	38,928,881.04	40,635,158.21	77,236,262.54	(35,870,900.10)	41,365,362.44
25250-25299	FEDERAL DHHS BLOCK GRANTS	-	-	-	-	-
25300-25399	FEDERAL OPERATING GRANTS FUND	418,091,127.23	459,719,203.03	419,720,914.28	29,052,590.51	448,773,504.79
31351	MILITARY AND NAVAL AFFAIRS	8,756,661.66	8,756,661.66	8,753,932.66	-	8,753,932.66
31354	DEPARTMENT OF TRANSPORTATION	484,905,655.79	460,128,296.86	382,515,866.87	99,644,388.17	482,160,255.04
31350-31449	FEDERAL CAPITAL PROJECTS FUND (ALL OTHER)	87,809,426.82	108,833,065.72	103,768,767.21	2,440,966.45	106,207,733.66
25900-25949	UNEMPLOYMENT INSURANCE ADMINISTRATION	12,236,467.91	10,584,973.51	11,204,557.99	(319,887.12)	10,884,670.87
23650	FEDERAL UNEMPLOYMENT INS OCCUPATIONAL TRAINING	318,466.89	477,858.89	445,238.99	(51,224.00)	394,014.99
26001-26049	DOL EMPLOYMENT AND TRAINING GRANTS	5,773,118.47	7,394,655.30	1,389,235.20	5,692,286.94	7,234,549.24
	TOTAL FEDERAL FUNDS	1,290,284,977.47	1,750,452,941.19	1,486,881,142.81	(236,867,507.77)	1,260,273,835.04
	AGENCY FUNDS					
60201	EMPLOYEES HEALTH INSURANCE ACCT	-	-	-	-	-
60901	MMIS - STATE AND FEDERAL	-	-	-	-	-
	TOTAL AGENCY FUNDS	-	-	-	-	-
	ENTERPRISE FUND					
50318	OGS CONVENTION CENTER ACCOUNT	345,221.79	347,999.18	347,191.44	33,932.47	381,123.91
50327	EMPIRE PLAZA GIFT SHOP	304,988.44	296,041.12	306,381.38	(8,596.59)	297,784.79
	TOTAL ENTERPRISE FUND	650,210.23	644,040.30	653,572.82	25,335.88	678,908.70
	INTERNAL SERVICE FUNDS					
55001	CENTRALIZED SERVICES-FLEET MGMT	-	-	-	-	-
55002	CENTRALIZED SERVICES-DATA PROCESSING	-	-	-	-	-
55003	CENTRALIZED SERVICES-PRINTING	1,324,819.02	1,337,430.77	1,219,006.10	68,484.32	1,287,490.42
55004	CENTRALIZED SERVICES-REAL PROPERTY-LABOR	-	-	-	-	-
55005	CENTRALIZED SERVICES-DONATED FOODS	-	-	-	-	-
55006	CENTRALIZED SERVICES-PERSONAL PROPERTY	-	-	-	-	-
55007	CENTRALIZED SERVICES-CONSTRUCTION SERVICES	3,516,513.30	3,517,515.48	3,710,936.11	244,053.11	3,954,989.22
55008	CENTRALIZED SERVICES-PASNY	12,388,557.36	13,148,746.30	456,186.08	8,511,520.28	8,967,706.36
55009	CENTRALIZED SERVICES-ADMIN SUPPORT	-	-	-	-	-
55010	CENTRALIZED SERVICES-DESIGN AND CONSTR	12,271,049.05	16,224,953.73	13,638,101.92	3,086,810.19	16,734,912.11
55011	CENTRALIZED SERVICES-INSURANCE	-	-	627,294.42	(43,738.00)	-
55012	CENTRALIZED SERVICES-SECURITY CARD ACCESS	157,991.30	193,452.30	191,527.80	-	235,265.80
55013	CENTRALIZED SERVICES-COPIES	-	-	-	-	-

APPENDIX F

STATE OF NEW YORK
SCHEDULE OF MONTH-END TEMPORARY LOANS OUTSTANDING(*)

SFS Fund	ACCOUNT TITLE	November 30, 2019	December 31, 2019	January 31, 2020	Change	February 29, 2020
55014	CENTRALIZED SERVICES-FOOD SERVICES	-	-	-	-	-
55015	CENTRALIZED SERVICES-HOMER FOLKS	1,565,919.79	1,628,566.47	1,237,731.03	45,070.38	1,282,801.41
55016	CENTRALIZED SERVICES-IMMICS	248,638.45	271,861.11	458,480.02	117,948.84	576,428.86
55017	DOWNSIDE WAREHOUSE	3,954,819.15	4,406,719.06	2,505,794.55	237,673.23	2,743,467.78
55018	BUILDING ADMINISTRATION	-	-	-	-	-
55019	LEASE SPACE INITIATIVE	61,261,079.71	63,615,776.94	59,295,302.16	(5,846,863.51)	53,448,438.65
55020	OGS ENTERPRISE CONTRACTING ACCT	6,977,640.35	7,273,044.60	7,509,318.18	236,838.15	7,746,156.33
55021	NYS MEDIA CENTER	17,918,524.05	20,106,078.50	22,237,794.95	2,119,228.81	24,357,023.76
55022	BUSINESS SERVICES CENTER	-	-	-	-	-
55052	ARCHIVES RECORD MGMT I.S.	-	-	-	-	-
55053	FEDERAL SINGLE AUDIT	-	-	-	-	-
55056	CIVIL SERVICE EHS OCCUP HEALTH PROG	-	-	-	-	-
55057	BANKING SERVICES ACCOUNT	11,046.39	488,933.07	22,148.00	185,544.60	207,692.60
55058	CULTURAL RESOURCE SURVEY	1,800,873.45	2,049,970.42	2,371,227.91	(359,222.47)	2,012,005.44
55059	NEIGHBOR WORK PROJECT	10,958,347.84	10,770,306.65	11,300,567.74	(124,062.80)	11,176,504.94
55060	AUTOMATIC/PRINT CHARGBACKS	3,378,751.17	841,311.13	2,323,977.62	(2,323,977.62)	-
55061	OFT NYT ACCT	2,239,828.23	2,239,828.23	2,240,424.54	(3,747.03)	2,236,677.51
55062	DATA CENTER ACCOUNT	44,947,967.77	45,074,847.53	40,374,377.45	-	40,374,377.45
55063	CYBER SECURITY INTRUSION ACCT	1,261,584.27	1,261,584.27	1,261,584.27	-	1,261,584.27
55066	DOMESTIC VIOLENCE GRANT	93,562.92	120,045.45	102,200.65	1,513.39	103,714.04
55067	CENTRALIZED TECHNOLOGY SERVICES	53,910,503.38	51,711,458.23	50,620,780.06	20,085,402.36	70,706,182.42
55071	LABOR CONTACT CENTER ACCT	624,767.45	824,767.45	406,736.30	(408,736.30)	-
55072	HUMAN SERVICES CONTACT CNTR ACCT	638,385.59	331,462.26	1,414,190.08	(1,414,190.08)	-
55073	TAX CONTACT CENTER ACCT	-	-	-	-	-
55074	CIVIL RECOVERIES ACCT	-	-	-	-	-
55251	EXECUTIVE DIRECTION INTERNAL AUDIT	11,826,808.19	12,046,041.31	12,297,199.10	(436,042.63)	11,861,156.47
55252	CIO INFORMATION TECHNOLOGY CENTRALIZED SERVICES	31,505,372.94	17,975,061.23	20,648,070.56	3,414,703.81	24,062,774.37
55300	HEALTH INSURANCE INTERNAL SERVICE	15,884,268.49	19,276,421.81	9,074,851.27	527,506.47	9,602,357.74
55301	CIVIL SERVICE EMPLOYEE BENEFITS DIV ADM	1,363,101.40	1,472,850.68	1,604,672.50	109,749.28	1,714,421.78
55350	CORR INDUSTRIES INTERNAL SERVICE	33,974,055.38	35,040,896.93	36,953,626.60	2,405,422.13	39,359,048.73
	TOTAL INTERNAL SERVICE FUNDS	335,579,538.94	333,449,938.91	306,106,109.97	29,907,068.49	336,013,178.46
	GRAND TOTAL - TEMPORARY LOANS OUTSTANDING	\$ 4,519,715,642.45	\$ 5,245,450,059.39	\$ 4,550,279,312.24	\$ (624,402,067.32)	\$ 3,925,877,244.92

(*) Temporary Loans are authorized pursuant to Subdivision 5 of Section 4 of the State Finance Law and Chapter 59, Part TTT, Section 1, of the Laws of 2019-20. Such loans are made from the State's Short-Term Investment Pool (STIP) and are intended to satisfy temporary cash shortfalls whenever scheduled disbursements exceed available revenues during the fiscal year. Generally, temporary loans are repaid from the first cash receipts of the fund or account; however, in some cases actual revenues are not sufficient to repay all loans made to the fund or account and a transfer from the General Fund "Repayment of Receivables" appropriation is approved by the Budget Director. The balances reported here in Appendix F are the actual fund balances as of the close of business on the last day of the reporting month and do not include post-closing adjustments. Please refer to Schedule 1 for a detailed analysis of the reported cash balances of the fund group.

(**) Temporary loans to federal funds are typically reimbursed within 2-3 days. Such loans are made pursuant to federal regulations which require the State to disburse funds prior to making a reimbursement claim from the U.S. Treasury.

(***) Per Section 72 of the State Finance Law, the General Fund includes the Local Assistance Fund (10000) and State Purpose Fund (10050).

APPENDIX G

	2019 APRIL	MAY	JUNE	JULY	AUGUST	SEPTEMBER	OCTOBER	NOVEMBER	DECEMBER	2020 JANUARY	FEBRUARY	MARCH	11 Months Ended February 25, 2020
OPENING CASH BALANCE	\$ 16,298,833	\$ 228,985,088	\$ 67,983,418	\$ 126,634,302	\$ 99,294,725	\$ 98,280,268	\$ 131,509,913	\$ 78,080,573	\$ 39,558,861	\$ 42,917,918	\$ 58,304,153		\$ 16,298,833
RECEIPTS:													
Transfers from General Fund (**)	250,000,000	-	200,000,000	50,000,000	70,000,000	100,000,000	100,000,000	70,000,000	170,000,000	100,000,000	50,000,000	-	1,160,000,000
Total Receipts	250,000,000	-	200,000,000	50,000,000	70,000,000	100,000,000	100,000,000	70,000,000	170,000,000	100,000,000	50,000,000	-	1,160,000,000
DISBURSEMENTS:													
Affordable and Homeless Housing	-	1,460,000	18,256,090	-	1,574,403	25,407,411	1,811,458	78,556,285	1,076,930	37,388,423	-	-	165,535,000
Broadband Initiative	1,906,857	22,713,440	5,454,209	12,367,387	1,905,302	6,084,561	13,381,336	770,343	6,031,925	12,338,912	2,274,816	-	85,228,088
Downtown Revitalization	-	-	516,406	151,311	161,511	63,446	192,519	377,686	1,548,901	82,082	(2,734,534)	-	361,327
Health Care / Hospital Initiatives (***)	1,376,141	66,909,227	2,205,139	5,379,040	1,033,482	2,853,386	2,108,372	(26,657,805)	(25,673,320)	4,096,771	1,360,776	-	34,991,809
Empire State Poverty Reduction Initiatives	1,174,678	643,317	1,630,974	1,884,546	638,637	2,373,357	1,747,976	998,069	4,022,033	6,403,014	1,339,357	-	22,855,958
Information Technology/Infrastructure for Behavioral Sciences	-	-	-	-	-	-	-	-	-	-	-	-	-
Infrastructure Improvements	-	298,303	697,554	604,723	62,372	3,874	215,879	-	771,428	844,697	334,981	-	3,739,591
Infrastructure Expansion	-	-	87,959,899	-	-	-	77,053,217	-	108,264,862	1,000,000	200,000	-	271,274,098
Life Sciences Initiative	-	-	-	-	500,000	4,420	161,331	-	2,500,000	1,520,754	11,552,422	-	4,204,420
Municipal Restructuring / Consolidation Competition	1,257,796	1,322,544	884,297	584,993	1,239,887	68,308	161,331	1,527,320	1,252,791	1,520,754	-	-	21,363,443
Penn. Station Access	-	-	-	-	-	-	(14,140)	-	-	-	-	-	-
Resiliency, Mitigation, Security and Emergency Response	32,703	4,101,595	100,755	8,723	(953)	-	(14,140)	-	155,951	521,801	-	-	4,228,683
Southern Tier / Hudson Valley Farm Initiative	10,000	73,340	4,871	20,000	173,311	-	1,277,455	4,191	29,622,000	14,314,804	-	-	2,240,920
Thruway Stabilization Program	15,988,205	29,132,267	20,630,646	42,058,113	49,057,748	25,685,242	42,024,591	40,235,999	5,602,004	2,610,519	13,298,589	-	322,046,201
Transformative Economic Development Projects	5,122,897	8,707,914	1,701	4,492,613	2,754,194	2,500,000	1,104	3,107,627	-	-	275	-	34,900,848
Transportation Capital Plan	-	-	-	(3,626)	-	1,728,351	13,468,442	9,600,000	33,485,406	3,491,988	20,208,870	-	(3,626)
Update Revitalization Program	10,833,898	25,249,723	3,102,575	9,791,754	11,923,563	1,728,351	13,468,442	-	-	-	-	-	142,860,542
Total Disbursements	37,703,745	160,611,670	141,349,116	77,339,577	71,014,457	66,770,355	153,429,340	108,521,712	166,640,943	84,613,765	47,833,532	-	1,115,828,212
OPERATING TRANSFERS:													
Transfers to General Fund	-	-	-	-	-	-	-	-	-	-	-	-	-
Total Operating Transfers	-	-	-	-	-	-	-	-	-	-	-	-	-
Total Disbursements and Transfers	37,703,745	160,611,670	141,349,116	77,339,577	71,014,457	66,770,355	153,429,340	108,521,712	166,640,943	84,613,765	47,833,532	-	1,115,828,212
CLOSING CASH BALANCE	\$ 228,595,088	\$ 67,983,418	\$ 126,634,302	\$ 99,294,725	\$ 98,280,268	\$ 131,509,913	\$ 78,080,573	\$ 39,558,861	\$ 42,917,918	\$ 58,304,153	\$ 60,470,621	\$	\$ 60,470,621

(*) Fund created pursuant to Chapter 60, Laws of 2015-16, Part H and SFL § 93-b

(**) Pursuant to Section 93(b) of the State Finance Law

(***) November and December disbursement amounts include repayment of a loan pursuant to Public Health Law §2615.

APPENDIX H

STATE OF NEW YORK
MEDICAL ASSISTANCE DISBURSEMENTS - STATE FUNDS⁽¹⁾
FISCAL YEAR 2019-2020

	FEBRUARY 2020			11 MONTHS ENDED FEBRUARY 20		
	Department of Health	Other State Agencies	February	Department of Health	Other State Agencies	Year to Date
Adult State Share Medicaid	\$ -	\$ 206,631,733.00	\$ 206,631,733.00	\$ -	\$ 280,285,132.00	\$ 280,285,132.00
State Share Medicaid	32,000,258.00	20,281,930.56	52,262,188.56	181,173,633.00	9,255,488.12	190,429,121.12
Medical Assistance (OPWDD)	-	-	-	-	63,347,284.00	63,347,284.00
Medical Assistance Administration	4,605,980.39	368.00	4,606,348.39	54,623,233.81	441,011,800.00	495,634,833.81
Population Health Improvement	642,049.15	-	642,049.15	3,972,901.33	-	3,972,901.33
Traumatic Brain Injury Services	894,372.23	-	894,372.23	10,311,213.29	-	10,311,213.29
Nursing Home Transition & Diversion	-	-	-	1,355,527.06	-	1,355,527.06
Reducing Maternal Mortality	276,245.12	-	276,245.12	765,049.67	-	765,049.67
New York Connects	-	1,522,498.02	1,522,498.02	-	21,634,862.58	21,634,862.58
Facilitated Enrollment	113,465.39	-	113,465.39	3,203,441.73	-	3,203,441.73
Emergency Medical Transportation	-	-	-	2,250,000.00	-	2,250,000.00
Managed Long-Term Care Ombudsman	364,555.22	-	364,555.22	4,889,227.97	-	4,889,227.97
Major Academic Pool	-	-	-	24,500,000.00	-	24,500,000.00
Women's Health & Multiple Births	-	-	-	15,000.00	-	15,000.00
Vital Access Program (OASAS)	-	-	-	5,770,000.00	-	5,770,000.00
Vital Access Program (OMH)	9,132,053.00	-	9,132,053.00	11,951,096.00	-	11,951,096.00
General Hospitals Safety-Net Providers	29,767,870.00	-	29,767,870.00	111,619,735.00	-	111,619,735.00
Rural Transportation	-	-	-	4,000,000.00	-	4,000,000.00
AIDS Epidemic	1,264,421.49	-	1,264,421.49	13,064,766.99	-	13,064,766.99
Fluoridation Systems	46,829.00	-	46,829.00	1,521,130.73	-	1,521,130.73
Expanding Caregiver Support Services	971,067.74	-	971,067.74	22,640,126.27	-	22,640,126.27
Provide Affordable Housing	1,594,011.78	-	1,594,011.78	15,978,000.94	-	15,978,000.94
Health Homes Establishment	228,320.22	3,285,555.00	4,879,566.78	987,081.99	21,642,175.74	37,620,176.68
Community Provider Network	(14,934,825.93)	-	(14,934,825.93)	-	-	987,081.99
Inpatient Services	46,539,296.34	-	46,539,296.34	35,433,137.50	-	35,433,137.50
Patient Centered Medical Homes	101,865,435.71	-	101,865,435.71	934,949,965.49	-	934,949,965.49
Outpatient & Emergency Room Services	929,479.78	-	929,479.78	101,865,435.71	-	101,865,435.71
Clinic Services	15,656,917.91	-	15,656,917.91	191,237,762.81	-	191,237,762.81
Nursing Home Services	137,781,578.93	-	137,781,578.93	285,693,738.68	-	285,693,738.68
Other Long Term Care Services	374,186,197.42	-	374,186,197.42	432,166,950.96	-	432,166,950.96
Managed Care Services	131,167,748.14	-	131,167,748.14	9,813,441,856.02	-	9,813,441,856.02
Pharmacy Services	12,366,962.40	-	12,366,962.40	3,246,799,245.63	-	3,246,799,245.63
Transportation Services	13,888,457.85	-	13,888,457.85	240,182,434.93	-	240,182,434.93
Dental Services	472,733.09	-	472,733.09	216,643,202.06	-	216,643,202.06
Non-Institutional & Other	53,144,430.85	11,071,173.00	64,215,603.85	8,449,984.35	-	8,449,984.35
Medical Services State Facilities	64,223,148.92	-	64,223,148.92	1,193,284,585.95	23,997,266.00	1,217,281,851.95
CSEA Family Health Plus Buy In	159,551.25	-	159,551.25	1,386,962,468.06	-	1,386,962,468.06
Medical Assistance (HCRA)	150,000,000.00	-	150,000,000.00	-	-	-
Indigent Care	61,636,343.56	-	61,636,343.56	3,581,000,000.00	-	3,581,000,000.00
Provider Assessments	85,251,015.33	-	85,251,015.33	854,144,727.93	-	854,144,727.93
NYC Personal Care Workforce Recruitment and Retention Rates (HCRA)	136,000,000.00	-	136,000,000.00	886,851,015.33	-	886,851,015.33
Personal Care Workforce Recruitment and Retention Rates (HCRA)	11,200,000.00	-	11,200,000.00	136,000,000.00	-	136,000,000.00
Home Health Rate Increase (HCRA)	50,000,000.00	-	50,000,000.00	11,200,000.00	-	11,200,000.00
Additional DSH Payments SUNY	15,490,500.00	-	15,490,500.00	50,000,000.00	-	50,000,000.00
TOTAL ⁽²⁾	1,528,926,470.08	242,773,257.58	1,771,699,727.66	24,078,946,031.78	841,173,808.44	24,920,119,840.22
Reclassification of Medical Assistance payments for care and treatment of patients at State-operated health, mental hygiene and State University facilities to Transfers.	(85,050,967.74)	-	(85,050,967.74)	(1,688,120,178.54)	-	(1,688,120,178.54)
TOTAL REPORTED MEDICAID	\$ 1,443,875,502.34	\$ 242,773,257.58	\$ 1,686,648,759.92	\$ 22,390,825,853.24	\$ 841,173,808.44	\$ 23,231,999,661.68

⁽¹⁾ General Fund and State Special Revenue Funds only.
These amounts do not include Medical Assistance spending for State Operations.
These amounts are not comparable to Medicaid Global Cap spending.
Department of Health regularly reclassifies spending between programs,
and therefore amounts for any individual program may be restated by DOH.
⁽²⁾Source: Statewide Financial System

APPENDIX I

STATE OF NEW YORK
MEDICAL ASSISTANCE DISBURSEMENTS - FEDERAL FUNDS^(*)
FISCAL YEAR 2019-2020

	FEBRUARY 2020			11 MONTHS ENDED FEBRUARY 20		
	Department of Health		Other State Agencies	February		Year to Date
Medical Assistance & Survey Certification Program	\$ 11,008,902.61	\$ -	\$ -	\$ 11,008,902.61	\$ 131,745,820.70	\$ 131,745,820.70
Medical Assistance Administration	262,619.69	-	550,492.00	813,111.69	49,981,485.72	433,552,442.72
Partnership Plan	-	-	-	-	778,572,647.22	778,572,647.22
Inpatient Services	380,609,426.56	-	-	380,609,426.56	4,846,121,708.66	4,846,121,708.66
Outpatient & Emergency Room Services	49,057,891.86	-	-	49,057,891.86	1,169,416,735.22	1,169,416,735.22
Clinic Services	45,437,609.03	-	-	45,437,609.03	702,271,459.13	702,271,459.13
Nursing Home Services	178,605,815.03	-	-	178,605,815.03	2,675,445,949.16	2,675,445,949.16
Other Long Term Care Services	704,731,337.18	-	-	704,731,337.18	8,646,240,526.88	8,646,240,526.88
Managed Care Services	1,353,773,300.97	-	-	1,353,773,300.97	13,317,789,451.98	13,317,789,451.98
Pharmacy Services	31,207,810.36	-	-	31,207,810.36	1,289,614,960.84	1,289,614,960.84
Transportation Services	51,897,037.50	-	-	51,897,037.50	370,985,207.71	370,985,207.71
Dental Services	1,417,382.47	-	-	1,417,382.47	79,935,079.58	79,935,079.58
Non-Institutional & Other	131,344,107.46	(1,889,479.00)	-	129,474,628.46	3,674,727,788.27	3,703,261,950.27
Medical Services State Facilities	648,009,828.70	-	-	648,009,828.70	1,207,190,734.49	1,207,190,734.49
Additional DSH Payments SUNY	15,490,500.00	-	-	15,490,500.00	15,490,500.00	15,490,500.00
TOTAL ^(*)	3,602,853,569.42	(1,318,987.00)		3,601,534,582.42	38,955,530,055.56	39,367,535,174.56
Reclassification of Medical Assistance payments for care and treatment of patients at State-operated health, mental hygiene and State University facilities to Transfers and adjustments for timing of payments at month end.	(170,318,270.59)			(170,318,270.59)	(1,810,844,827.10)	(1,810,844,827.10)
TOTAL REPORTED MEDICAID^(***)	\$ 3,432,535,298.83	\$ (1,318,987.00)		\$ 3,431,216,311.83	\$ 37,144,685,228.46	\$ 37,556,790,347.46

^(*) Special Revenue Federal Funds only.
These amounts do not include Medical Assistance spending for State Operations.
These amounts are not comparable to Medicaid Global Cap spending.
^(**) Source: Statewide Financial System
^(***) Reported Medicaid spending does not include the Basic Health Plan.